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ABSTRACT

The Wisconsin Machine-Readable Records Project was conducted by the State Historical Society of Wisconsin between August 1981 and July 1983 as a follow-up to the Wisconsin Survey of Machine-Readable Public Records. Both projects assessed the impact of computer technology on record keeping by state government agencies and addressed the implications of contemporary information technology for archival preservation of public records. This final report summarizes the Records Project which was undertaken to address several specific problems identified by the survey. The five-part report contains a narrative history of the activities of the project; a brief description of its accomplishments; a discussion of some of the unanticipated problems and unresolved issues; a summary of the current status of machine-readable records in Wisconsin; and an outline of the objectives for an ongoing, self-sustaining machine-readable records program at the State Historical Society of Wisconsin. Appendices, which make up more than two-thirds of the document, comprise: (1) General Records Schedule for Machine-Readable Processing Files; (2) Revised Scheduling Policy and Sample Records Disposal Authorizations; (3) Procedures Manual for Machine-Readable Records; and (4) Sample User's Guide for a Machine-Readable Records Series. (THC)

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IMPLEMENTING A MACHINE-READABLE RECORDS PROGRAM:

THE FINAL REPORT OF THE WISCONSIN MACHINE-READABLE RECORDS PROJECT

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IMPLEMENTING A MACHINE-READABLE RECORDS PROGRAM: THE FINAL REPORT OF THE WISCONSIN MACHINE-READABLE RECORDS PROJECT

A Project to Develop an Integrated and Self-Sustaining
Program for Machine-Readable Records
in the State of Wisconsin

Archives Division
State Historical Society of Wisconsin
1981-1983

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National Historical Publications and Records Commission
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The project staff also received technical support from a variety of individuals. John Davis provided valuable assistance as a free-lance consultant and programmer by writing programs for the conversion of several data sets to an acceptable archival format. Durwood Meyer, B. Jerry O'Reilly, John Wilson, and Kathy Perez, all members of the staff of the UW Administrative Data Processing (ADP), helped to establish and maintain a cordial and satisfactory working relationship between the project staff and ADP.

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INTRODUCTION

The Wisconsin Machine-Readable Records Project (NHPRC Grant #81-144) was conducted by the State Historical Society of Wisconsin between August 1981 and July 1983 as a follow-up to the Wisconsin Survey of Machine-Readable Public Records (NHPRC Grant #80-8).[1] Both projects assessed the impact of computer technology on record keeping by state government agencies and addressed the implications of contemporary information technology for archival preservation of public records.

The initial survey project identified machine-readable records in several state agencies, evaluated existing records management, disposition, and retention policies governing machine-readable records, and developed a set of recommendations for improving records management and archival control of these materials. The second project, The Wisconsin Machine-Readable Records Project, addressed several specific problems which were identified by the survey and attempted to implement some of its recommendations. The requisites for a machine-readable records program included the need to incorporate machine-readable records into existing records management procedures, develop in-house archival capacities to handle machine-readable records, and identify external technical resources for use in processing and preservation of data files. The project had three main goals:

(1) Develop and implement a records management program for machine-readable records.
(2) Develop the state archives resources for the administration of a machine-readable records program.
(3) Prepare a manual for the management of machine-readable records.

During the course of the project the staff worked with agency records managers to develop acceptable guidelines for description and scheduling of machine-readable records. Arrangements were made with the University of Wisconsin's Administrative Data Processing (ADP) for processing and preservation of machine-readable records and a member of the archives permanent staff was trained to assume responsibility for handling machine-readable records. As a result of the development of in-house procedures and capabilities to accession, process, and preserve machine-readable records with technical assistance provided by ADP, the state archives has integrated machine-readable records into its existing public records program as an ongoing function.

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[1] Archival Preservation of Machine-Readable Records: A Final Report, Martin David, et al. (Madison: State Historical Society of Wisconsin, 1981).

Some of the project's goals were not fully attained due to several unanticipated problems. The development and implementation of a comprehensive records management program requires considerably more time and staff support than was anticipated originally. The project staff found that implementation of a records management program wasimpossible without broad-based acceptance of its significance, objectives, and parameters by records managers. The development of guidelines for scheduling machine-readable records required ongoing discussions with records managers throughout the course of the project. A consensus on an acceptable approach to scheduling machine-readable records emerged only as the project approached completion, leaving little time for implementation of these guidelines.

The project staff also encountered numerous unanticipated delays in gaining access to machine-readable records, approval of records schedules, obtaining copies of data files for preservation, and completion of processing projects. Some of these delays were specific to the environment of the project. During the course of the project, legislation governing the Public Records Board was revised significantly. As a result, a new and expanded Public Records and Forms Board was created and until its members were appointed and organized no action was taken on records schedules for several months. In addition, the Wisconsin Legislature passed a new Open Records Law which became effective on January 1, 1983. Records managers' concern with the new legislation diverted their attention from problems associated with machine-readable records.

Some of the delays we encountered are likely to occur in other situations because they stem directly from the unique characteristics of machine-readable records and the administrative environment in which they are created. A lack of guidelines, familiarity, and precedents for scheduling and transfer of machine-readable records to the archives often led to a reluctance to transfer records without formal approval from the legal custodians, high-level agency administrators, and data processing staffs. Some administrators were reluctant to transfer machine-readable records without an evaluation of security procedures at the archives to prevent inadvertent or unauthorized disclosure or alteration of the contents of the records. Some questioned the ability of anyone other than the original custodian to properly interpret the contents of data files. While all of these concerns are legitimate, they caused frequent delays in the approval of schedules and transfer of machine-readable records -- delays which seldom are encountered with textual records.

Finally, the project staff proposed a manual on the identification, description, scheduling, and appraisal of machine-readable records for use by agency records managers and data processing personnel. This manual was not prepared for two reasons. First, final guidelines for description and scheduling were not adopted by the Records and Forms Management Council or the Public Records and Forms Board when the project was completed. Second, one goal of the project was to integrate machine-readable records into existing records management procedures. The project staff decided that a separate manual for machine-readable records might encourage agency personnel to treat these records uniquely rather than in conjunction with related input documents and output reports. As a

long-term goal of the ongoing machine-readable records program, the archives staff intends to submit revisions to the current Department of Administration manual on inventorying, scheduling, and disposition of state records. Revisions to this manual are proposed for 1983 or 1984. The project archivist prepared an internal procedures manual for use by the archives staff in handling machine-readable records.

This Final Report summarizes the Wisconsin Machine-Readable Records Project. Part One contains a narrative history of the activities of the project. Part Two briefly describes its accomplishments. Part Three addresses some of the unanticipated problems and unresolved issues. Part Four summarizes the current status of machine-readable records in Wisconsin. Finally, Part Five outlines the objectives for an ongoing, self-sustaining machine-readable records program at the SHSW. We hope that this report will provide guidance and models for other archives which plan to establish programs for machine-readable records as well as a heightened awareness of some of the special problems associated with computer-generated records.

PART ONE: A NARRATIVE HISTORY OF THE PROJECT

1.1 Preparation

The Wisconsin machine-readable records project got underway in August 1981 when Margaret Hedstrom, project archivist, began full-time work on the project. Michael J. Fox was selected as the permanent staff archivist to receive training and assume long-term responsibility for machine-readable records. Max J. Evans was the project director.

Efforts were made to publicize the project through letters to more than eighty agency records managers informing them of the training and services being offered by the project staff. In preparation for the project, the staff archivist reviewed technical and archival literature relevant to machine-readable records. To increase their technical competency, both the project archivist and the staff archivist participated in several short courses offered by the University of Wisconsin's Madison Academic Computing Center (MACC) throughout the course of the project.

1.2 Scheduling Activities

A general records schedule for machine-readable processing files was prepared by the the project staff and submitted to the Public Records and Forms Board in 1981. The purpose of the general schedule was to exempt temporary (non-master) machine-readable records from the regular review process which requires the Public Records and Forms Board to approve the disposition of all public records. The Board delayed action on the general schedule pending comments from agency records managers, data processing personnel, and other interested parties.

During the following year, the general schedule was distributed widely and revised several times based on comments from agency personnel. Circulation of the general schedule stimulated interest in and discussion of a wide range of issues related to machine-readable records among records managers and data processing personnel. A final version of the general schedule was passed by the Public Records and Forms Board at its meeting on October 3, 1982.

Records managers were encouraged to develop schedules which cover input documents, machine-readable master files, paper and microform output reports, and other related series with one comprehensive schedule for all of the components of an automated system. The project staff worked with a few records managers to develop records schedules and draft Records Disposition Authorizations (RDA's) for specific records series which included records in machine-readable form. RDA's covering at least 41 machine-readable records series were approved by the Public Records Board during the course of the project.

1.3 Outreach and Training

The project staff encouraged the development of records management policies for machine-readable records and offered training and assistance when requested by agency records managers. The staff worked closely with the Records and Forms Council, an organization of agency records and forms managers which discusses records management issues and serves as a liaison between records management officers and the Public Records and Forms Board.

In March 1982, the Records and Forms Council established a Committee on Machine-Readable Records to discuss the general schedule for processing files, mechanisms for drafting records disposal authorizations, and other issues pertaining to machine-readable records. The purpose of the committee was to discuss these issues and draft recommendations in the area of machine-readable records for approval by the entire Council. The committee consisted of records managers and systems analysts from the departments of Health and Social Services; Industry, Labor and Human Relations; Public Instruction; Revenue; Transportation; and the University of Wisconsin; the Executive Secretary of the Public Records Board; and the project staff. The Machine-Readable Records Committee held periodic meetings through June 1983 and served as an important source for input from agency personnel regarding their concerns with machine-readable records. At its final meeting on June 9, 1983, the Committee agreed on a policy statement for scheduling machine-readable records which was presented to the entire Records and Forms Council on June 21, 1983.

The project staff met with records management and data processing personnel in several agencies when requested to provide training or assistance. During the course of the project, the staff provided on-site assistance in the departments of Administration; Agriculture, Trade and Consumer Protection; Employee Trust Funds; Health and Social Services; Industry, Labor and Human Relations; Natural Resources; Revenue; Transportation; the State Elections Board; and the Registrar's Office of the University of Wisconsin-Madison. Generally, the assistance provided consisted of suggestions and guidelines for drafting comprehensive schedules covering an entire automated system or data base.

1.4 Accessioning and Processing of Machine-Readable Data Files

As an initial step in accessioning, processing, and preserving machine-readable records, the archives entered into an agreement with the University of Wisconsin's Administrative Data Processing Center (ADP) for storage and processing of data files beginning in February 1982. Between April and June 1982, all data files accessioned during the Wisconsin Survey of Machine-Readable Public Records were transferred to the ADP tape library and subsequent accessions were processed and stored there. Throughout the course of the project, the staff became familiar with a variety of services available from ADP.

Some complex data files required initial processing at the University of Wisconsin's Madison Academic Computing Center (MACC) which supports more utility programs and software packages than ADP.

In February 1982, John Davis was hired to serve as a consultant to the project on technical problems which required use of the MACC UNIVAC 1100 computer. He wrote programs to convert the Tax Model Database from systems files to raw data files and worked on other technical problems. During the course of the project, the staff accessioned and completely or partially processed data from the Wisconsin Tax Model, the Fielded Sales Analysis System, the Foster Homes Research Project, and tax rolls from several southeastern Wisconsin counties and municipalities. The processing of some of the data sets is ongoing.

1.5 Development of Internal Procedures and Staff Training

The project archivist spent a considerable amount of time developing internal procedures for accessioning, processing, and describing machine-readable data files. The objective of these procedures is to integrate machine-readable records into the existing systems for management of public records in the archives and to handle the special processing and preservation requirements of machine-readable records. In February 1983, the project archivist designed a tape management log to keep a record of the physical location, technical specifications, and maintenance procedures performed on machine-readable records in the archives holdings. The log is written in the form of a Wang word processing document which is updatable and allows retrieval of information about each data file by file name, series number, or tape number. It can be searched to identify all tapes in need of special maintenance routines.

Data set naming conventions were developed which conform to the technical requirements of the ADP tape library system and the established procedures for assigning series numbers to state government records. Guidelines for writing documentation in the form of user's guides were also developed. A transmittal form was developed for agency use in transferring machine-readable records to the archives. This form records all of the administrative and technical information needed to keep records of the transfer and to read the file when it is received by the archives. The project archivist drafted an internal procedures manual for machine-readable records in May and June 1983 and trained the staff archivist to carry out the procedures.

PART TWO: PROJECT ACCOMPLISHMENTS

2.1 Development of a Records Management Program for Machine-Readable Records

The project staff developed the conceptual framework for a records management program for machine-readable records based on the integration of machine-readable records into existing procedures for management, scheduling, and disposition of state records. Some of the policies and procedures are outlined below.

2.1.1 The General Schedule for Machine-Readable Processing Files

A general schedule for machine-readable processing files was approved by the Public Records and Forms Board in October 1982 (see Appendix A). The schedule exempts machine-readable processing files, which are defined as relatively temporary files used to create, correct, reorganize, update, or derive output from master data files, from the review procedures required for other public records. It permits agencies to use their discretion in determining the retention periods for these temporary files. The general schedule also states that only processing files are covered by the schedule and agencies are required to submit disposal authorizations for all other records.

2.1.2 Development of Policies for Scheduling Master Data Files and Permanent Machine-Readable Data Sets

The Machine-Readable Records Committee of the Records and Forms Management Council adopted a general policy for scheduling machine-readable records. The policy was drafted by Joyce Endres, records manager and Suzanne Stout, systems analyst in the Department of Industry, Labor and Human Relations. The policy encourages the inclusion on records disposal authorizations of machine-readable records not exempted by the general schedule for processing files. The basic objective of the policy is to promote scheduling of records regardless of their storage media or physical format. The policy was discussed by the Records and Forms Council at its meeting on June 21, 1983. The guidelines will encourage records managers to draft comprehensive records schedules which cover input documents, machine-readable data sets, and paper and microform output on one comprehensive schedule for an entire automated information system. Several model disposal authorizations were developed during the course of the project. The policy statement and model RDA's are included in this report as Appendix B.

2.1.3 Training and Consultation

The staff provided limited training to agency records managers in drafting schedules for machine-readable records. Although the staff publicized the availability of training sessions on scheduling

to records managers and other interested parties, there were few requests for formal workshops. One formal workshop was presented for the Department of Employee Trust Funds. Most training was provided through consultative activities which occurred when the members of the project staff were asked for advice on drafting records schedules and identifying specific data files which might be transferred to the archives for preservation.

2.2 Development of the State Archives' Resources for Handling Machine-Readable Records

Development of archives capability to accession, process, maintain, preserve, and provide access to machine-readable records was a major goal of the Wisconsin Machine-Readable Records Project. Upon completion of the previous survey project, it was determined that the archives needed to become self-sufficient in all stages of an archival program for machine-readable records rather than relying on a social science data archives, the University of Wisconsin's Data and Program Library Service (DPLS), for technical services. Many of the machine-readable records scheduled for transfer to the archives were outside of the collecting areas of DPLS and it seemed likely that the anticipated volume of accessions would place an excessive burden on the facilities and staff of DPLS. Moreover, the archives staff placed a higher priority on integrating machine-readable records into existing records management and archival programs for state records than on integrating them into the procedures used by DPLS. The accomplishments of the project in developing the skills and procedures needed for an archival program are outlined below.

2.2.1 Selection of a Computer Service Bureau

Arrangements were made with ADP to accession, process, and store master copies of data files which are part of the archives holdings. We chose ADP in part because the archives already had established a relationship with the computing center for other data processing services, including technical support for SPINDEX, the Midwest State Archives Guide Project, and a Wang word processing network. While ADP does not support the wide range of hardware and software packages available at the University of Wisconsin's academic computing center (MACC), the hardware and software available at ADP has been adequate for most applications. The IBM 3083 mainframe computer at ADP is more compatible with other mainframes used by state agencies than the UNIVAC 1100 at MACC. ADP has a secure tape library which the ADP administration is willing to allow the archives to use for storage of master data files at virtually no cost.

The master copies are stored in the ADP tape library on magnetic tape supplied by ADP. Most data files received by the archives can be read and copied at ADP. ADP has some statistical packages (SAS) and utility routines available for further processing and verification of data sets. Data sets stored in the ADP tape library can be accessed only by authorized archives staff members from their Wang word processing terminals. Security back-up copies are stored in the archives.

2.2.2 Additional Computer Support from MACC

Some complex data sets cannot be transferred to ADP directly. This is especially true of data sets generated on the MACC UNIVAC 1100 computer with the use of special statistical packages such as SPSS and Stat Job. MACC also has available a wide range of utility programs for reformatting data files. The archives has an ongoing account at MACC and the staff archivist has become familiar with the services and utility programs available at MACC to process data files which cannot be processed at ADP. The staff archivist acquired sufficient training to perform simple routines. Contract analysts are hired when more complex problems require programming support.

2.2.3 Staff Training

A permanent staff member was trained to assist agency records managers in scheduling and to appraise, process, and describe machine-readable records. Upon completion of the project he assumed responsibility for assisting records custodians and records managers with drafting retention schedules for automated systems, appraisal, initiating transfer of records scheduled for disposition in the archives, processing, documentation, and supervision of maintenance procedures. He will also present workshops and provide consultation and guidance to agency personnel when requested.

2.2.4 Development of Internal Procedures

Internal procedures were developed to accession and process machine-readable records. A set of naming conventions provides guidelines for determining series numbers and keeping track of data sets stored at ADP. An automated tape maintenance log keeps a record of the location, contents, and physical status of all data sets in the custody of the archives. Documentation guidelines were developed which conform to the format of other archives finding aids and assure that minimum documentation requirements for machine-readable records are met. These procedures are outlined in the internal Procedures Manual for Machine-Readable Records which is included as Appendix C of this report.

PART THREE: UNANTICIPATED AND UNRESOLVED PROBLEMS

During the course of the project, the staff encountered several problems which were not fully anticipated in the project planning. The project also uncovered some special problems which we were not able to resolve during the course of the project due to a lack of time or resources. Although the initial survey project identified several general issues and attitudinal problems, the project staff assumed that they would be resolved through systematic education and training of records managers. However, few records managers were interested in participating in training workshops until policies for scheduling machine-readable records were established.

Many of the problems stem from the unique characteristics of machine-readable records and advanced information technology. Others are related to the unconventional involvement of archivists in activities related to the creation and management of current records. Part Four of this report discusses some of these problem areas because other archivists may have to confront similar obstacles.

3.1 Records Management Concerns

The staff found that implementation of a records management program was impossible without broad-based acceptance of its significance, objectives, and parameters by agency records managers. Some of the issues and concerns raised by records managers are summarized below.

3.1.1 Are Machine-Readable Records "Record Material?"

Some agency personnel expressed the opinion that machine-readable records should not be considered record material. This opinion was based on the assumption that the information in machine-readable records is duplicated in source documents and output reports. In the case of processing files, a general schedule was considered unnecessary by some because processing files are viewed as analogous to working copies or drafts of paper records. One agency suggested that the retention recommendations shown on RDA's for paper files covered machine-readable records by implication.

3.1.2 Data Processing Centers Have Adequate Control Over Machine-Readable Records Through Their Internal Procedures.

Some agencies expressed the opinion that adequate procedures for the orderly destruction of obsolete data were in place through the internal procedures at the data processing centers. This comment often was coupled with the position that the approach to scheduling proposed by the project was outmoded and inappropriate for contemporary information technology and that only data processing personnel possess technical expertise and knowledge of the records

sufficient to determine their retention. Such terms as "processing files" and "master files", used in the general schedule and in guidelines for scheduling, are difficult to reconcile with on-line data base systems. Some agencies which were using such sophisticated systems considered their internal procedures preferable to the approach proposed by the project.

3.1.3 Machine-Readable Records Are Impossible To Preserve Due To Their Technical Characteristics.

Some agency personnel raised doubts about the possibility of long-term preservation of machine-readable data. Their concerns were based on reservations about the fragile nature of the storage media and the need for companion software systems to interpret it. Others questioned whether the state archives had the physical and technical capability to preserve these records.

3.1.4 Can The Data Be Interpreted By Secondary Users?

The project staff received a vocal and persistent objection from one agency regarding the ability of secondary users to interpret data accurately. The agency recommended that it remain the sole distributor of its machine-readable records for at least 20 years. Potential users would obtain an explanation of the data from the original custodian. These objections increased when the archives staff recommended that copies of data files be transferred to the archives each year upon completion of file processing.

3.3.5 Is Security Adequate?

Some questions were raised about the adequacy of security procedures for machine-readable records. The archives has maintained confidential records in hard copy for several decades and security procedures have not been questioned by the original custodians. However, machine-readable records are subject to considerably more scrutiny in the area of data security concerns than normally is encountered for textual records.[3]

3.1.6 What Is The Fiscal Impact On The Agencies Of Transferring Machine-Readable Records To The Archives?

Several agencies were concerned about the potential cost of transferring machine-readable records to the archives. Their

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[3]For example, the records manager for the Department of Revenue and the project archivist drafted a retention schedule for individual income tax files in August and September 1981. The recommendation proposed that the master files be transferred to the state archives each year because the data is considered valuable for both internal agency research and potenial outside users. Statutes and administrative rules which restrict access to the data were to be observed and access to the record would be controlled by the original custodian. Due to concerns about data security of these highly confidential records, approval of the schedule by administrators in the Department is still pending.

reservations were based in part on the assumption that the agencies would be required to provide the archives with computer tape and in some cases with the software necessary to process the information. Although the archives does not accession software or retain software dependent data files, some costs arise in the transfer of machine-readable records which are not associated with the transfer of hard copy files. For example, a retention schedule could recommend that an agency periodically transfer data from a data base to a tape for long-term preservation. Normally, the archives provides the agency with the tape needed for such a transfer, but no standardized procedures have been established for determining the costs of removing the data from a data base or reformatting it. The archives has expressed a willingness, in principle, to cover such costs.

3.1.7 Records Managers Lack The Skill, Time, And Resources To Schedule Machine-Readable Records.

The lack of resources available to records managers was the most common concern raised about scheduling machine-readable records. Even records managers who fully accepted the principle of developing RDA's for machine-readable records, expressed concern about the amount of time and staff resources required to do so.

To ease the burden on records managers, guidelines for scheduling were simplified considerably. Originally the project staff proposed that records managers and other records custodians would draft RDA's which contained a complete description of the records and provide enough information for an initial appraisal. These expectations were relaxed considerably in order to reduce the burden on records managers and encourage them to include machine-readable records on RDA's. Records managers are encouraged to focus attention on machine-readable records in conjunction with normal revisions of retention schedules rather than through retrospective and remedial efforts. Currently, RDA's serve to inform the archivists that a machine-readable record exists and provide only a very brief description.

3.2 Data Processing Concerns

The lack of integration between records management and data processing activities is an ongoing concern. The relationships between records managers and data processing staffs vary among agencies, but in general, there is little awareness of the role of records managers or the archives in the management and retention of machine-readable records.

Effective implementation of a records management program will require more involvement with data processing staffs. Procedures for systematic transfer of archival files should be incorporated into data processing routines and documented in procedures manuals. Until such procedures are developed, implementation of the disposition recommendations on RDA's occurs on an *ad hoc* basis. Initiating transfer of archival records remains in the hands of the archivist who must check the records schedules periodically to identify data files due for transfer.

Ideally, a records management program will benefit from additional input from data processing personnel in the areas of identification and scheduling of machine-readable records. Data processing personnel could provide technical training and assistance to records managers. Problems with software dependence, media deterioration, and documentation would be minimized if records managers worked closely with data processing personnel to develop retention schedules as new systems are designed. These efforts would also integrate the existing data processing retention procedures with existing procedures for archival review of other state records.

3.3 Technological Issues

Complex data base structures continue to pose difficult problems for archival retention of machine-readable records. Some agencies rely almost entirely on one centralized data base for automated record keeping. If a "systems approach" to scheduling such a data base were followed, it is conceivable that one schedule would cover all of an agency's automated records and their associated input documents and output reports. In many cases, such a comprehensive schedule would be unwieldy.

A couple of examples illustrate this problem. First, during the project, the staff examined one large data base in conjunction with the University of Wisconsin Archives and the Registrar's Office. The project archivist participated in several meetings attended by a representative of the UW Archives, members of the Registrar's office staff, and data processing support personnel. The Registrar's data base contains more than 110,000 student records and is used to maintain and produce transcripts, registration forms and records, admission records, enrollment and grade reports, and a variety of statistical reports, mailing lists, and routine notices. The data base produces several hundred regular output reports on paper and microfiche. Several other offices use the data base, including the Graduate School and the Foreign Student Office, and output reports from the data base are distributed widely throughout the University. Although no schedule has been developed for the data base, one of the University archivists is continuing to discuss methods for developing a schedule. Second, a schedule was drafted for all of the input and output records associated with a data base in the State and Local Finance Division of the Department of Revenue. The schedule covers 106 separate records series used as input documents or created as output from the system.

The increasing use of updatable data bases poses conceptual and technical problems for the archives. Conceptually, the use of terms such as "processing files" and "master files" have been deemed obsolete by some records managers and systems analysts who work in an environment of on-line data bases. They recommend elimination of such terms from records schedules and the substitution of such concepts as "permanent data set" or "master records" which are not tied explicitly to one particular type of media. The use of agency-wide multi-purpose data bases also changes the concept of provenance or places provenance on such a broad level that it becomes meaningless.

Even if the data elements which should be preserved can be identified, the software and computer dependency of on-line data bases creates a major technical obstacle to acquisition of data. Some software dependent files can be reformatted at considerable expense and accessioned in a standard archival format. Increasingly, however, the separation of a data set from its companion software renders the data useless by eliminating the hierarchical relationships between data elements which are the key to retrieval and manipulation of the data. While the project staff lacked the technical resources to address this problem, we consider the increasing sophistication of software systems to be a pressing challenge for the archival profession.

PART FOUR: THE CURRENT STATUS OF MACHINE-READABLE RECORDS IN WISCONSIN

At the outset of the project, no more than fifteen records series in machine-readable form were covered by Records Disposal Authorizations (RDA's). Although 41 additional series were scheduled during the course of the project, the vast majority of machine-readable records still remain unscheduled. However an important shift occurred in the attitudes of many records management officers toward the scheduling of machine-readable records. This section of the Final Report summarizes the current status of machine-readable records in Wisconsin.

4.1 Records Management, Scheduling, and Disposition of MRR

When the project began, there was considerable records management opposition to the concept of placing machine-readable records on RDA's. The opposition was based on assumptions that machine-readable records are "duplicates" of hard copy records and do not require RDA's, the technical characteristics of the records make them impossible to schedule and preserve, data processing shops have adequate control over machine-readable records through their internal procedures, and records managers lack the skill, time, and resources to schedule machine-readable records.

Many records managers have gradually accepted and recognized the need to include machine-readable records in records management, scheduling, and disposition procedures. Moreover, key records management staff, particularly in the largest state agencies, endorse the "systems approach" to scheduling records from automated systems. According to this approach, input records, machine-readable records, and output reports are placed on one comprehensive schedule which covers all records associated with an automated records system regardless of storage media or physical characteristics.

Several factors have influenced the growing concern with machine-readable records among records managers. First, the Open Records Law (Chapter 335, Laws of Wisconsin) is explicit in defining machine-readable records as public records and reinforcing the concept that machine-readable data must be treated like other record material with regard to access. Second, during the summer of 1982, the State Records Center conducted an inventory of computer tapes in inactive storage at the Records Center and tape inventories were sent to agency records managers.[3] As a result of the inventory, agencies became

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[3]One large agency had more than 1,300 tapes at the records center which had been in inactive storage for at least 18 months. The contents of 600 of these could not be identified due to inadequate record keeping and scheduling.

more aware of the volume of machine-readable records and the need for better records management procedures for these materials. In 1982, the Records Center started charging agencies for computer tapes stored there for more than 18 months. This policy change also made agencies more aware of the volume of unscheduled machine-readable records.

Discussions between records managers, systems analysts, and the project staff during meetings of the Machine-Readable Records Committee of the Records and Forms Management Council were valuable in developing acceptable guidelines for drafting RDA's and increasing awareness of the problems associated with these records. While the discussions stressed the need to schedule machine-readable records, they also provided a forum for records management concerns. Through these discussions, the policies adopted provide for a great deal of flexibility in the format of RDA's. The amount of detailed description originally proposed by the project staff, has been reduced considerably, thus lessening the burden on records managers and records custodians responsible for drafting RDA's.

Currently, lack of time to devote to scheduling machine-readable records appears to be the major reason that machine-readable records are not covered by RDA's.[4] The degree of commitment and the resources devoted to scheduling machine-readable records varies greatly among agencies. In the Department of Revenue, for example, scheduling of machine-readable records and computer output microfilm (COM) are major priorities of the records management staff. In other agencies, machine-readable records are scheduled on an ad hoc basis as new systems are introduced or existing systems are revised. In many agencies, there is no systematic effort to schedule machine-readable records and in a few cases, records managers are completely unaware of machine-readable records.

4.2 Education and Training

The adoption of policies for scheduling machine-readable records has heightened the interest of records managers in education and training. A few records managers have mastered the concepts and techniques for scheduling machine-readable records. They have drafted comprehensive schedules, some of which are being circulated as models. However, many records managers have expressed an interest in additional training. The staff archivist will work with the Records and Forms Management Council in planning and presenting a series of workshops on scheduling machine-readable records during the fall of 1983.

The need for additional training is not limited to machine-readable records. Many records managers have expressed an interest in training in a broad area of records management policies and procedures. The adoption of a "systems approach" to records management and scheduling of machine-readable records implies that

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[4]Carol Leckie, "State Records Management: An Assessment," Wisconsin Department of Administration, Records Management Section, (December 1982) p. 7.

machine-readable records should be included in records management training sessions. Some specialized sessions, on topics such as understanding automated systems and documentation, have been requested.

4.3 The Role of the State Archives

One obstacle to the implementation of a records management program was the fact that some records managers questioned the ability of the archives to accession and preserve machine-readable records. The development of internal procedures to handle these records and the demonstrated ability of the archives to handle machine-readable records have minimized the impact of these concerns.

The state archives continues to play an active role in promoting better management and preservation of machine-readable records in Wisconsin. In order to maintain the momentum established by the Wisconsin Survey of Machine-Readable Public Records and the Wisconsin Machine-Readable Records Project, the archives will have to continue to promote activities related to machine-readable records for some time in the future.

In addition to encouraging policies for better management of machine-readable records and providing training, the archives staff will be expected to devote more attention to machine-readable records than is normally devoted to textual records. It is unlikely that RDA's which contain a description and disposition schedule of machine-readable records will contain enough detailed information for an appraisal of the records. Usually, appraisal of these records will require the archivist to collect additional descriptive information from records managers and legal custodians. Once a records series has been scheduled for transfer to the archives, the archivist will have to initiate and oversee the transfer until systematic procedures are in place to make transfers of machine-readable records on a regular basis. To encourage records managers and the legal custodians to include machine-readable records in RDA's, the archivist will have to encourage the development of comprehensive records schedules especially wnen new systems are developed, existing systems are revised, or a particular records series is reviewed.

4.4 Summary

The current status of the records management and archival program for machine-readable records in Wisconsin can be outlined as follows. The general schedule for machine-readable processing files exempts temporary non-master data files from the requirements of review of their disposition by the Public Records and Forms Board. All other records, including master data files, must be covered by a Records Disposal Authorization which is submitted to the Board which approves or revises the recommended disposition for the records.

Primary reponsibility for drafting RDA's rests with the agency records managers and legal custodians of the records. The policy statement on scheduling, approved by the Records and Forms Management Council, encourages scheduling of all records regardless of physical characteristics or storage medium. The policy statement also recommends that a comprehensive schedule which covers all components

of an automated system be drafted whenever possible. It encourages records managers to pay special attention to machine-readable records when new systems are developed, existing systems are revised, or a particular records series is reviewed.

The guidelines on scheduling allow agencies a great deal of flexibility in the format of RDA's. Most schedules contain a very brief description of input documents, machine-readable records, and output reports. Before each quarterly meeting of the Public Records and Forms Board an appraisal group of public records archivists evaluates the RDA's and reviews the disposition recommendations. Generally, the descriptions of machine-readable records provided by agencies do not contain enough detailed information about the contents or technical characteristics of machine-readable records to permit the appraisal archivists to evaluate their archival value. Currently, RDA's for machine-readable records function primarily to alert the archivists to the existence of machine-readable records.

In most instances, an appraisal archivist must conduct some additional research before the disposition recommendation for a machine-readable data file is approved or changed. Additional information is obtained from records managers, users of the records, and data processing support staff through telephone interviews or office visits. Brief meetings may be held with agency representatives when a comprehensive schedule covering numerous records series in a variety of formats is submitted.

The disposition recommendations for machine-readable records differ somewhat from the normal recommendations for textual records. Normally, textual records are retained by the agencies in active storage or at the State Records Center in inactive storage as long as there is an administrative need for the records. When these retention periods expire, the records are destroyed or transferred to the archives for preservation. Due to the fragile nature of electronic storage media, machine-readable records must be brought into archival custody at an early point in their life cycle.

When machine-readable records are scheduled for eventual transfer to the archives, the appraisal archivists are reluctant to approve dispositions unless the records are to be transferred within ten years of creation. If an agency has an ongoing administrative need for the records which exceeds a ten-year retention period, the archivist generally recommends that the archives acquires a copy for preservation purposes, preferably as soon as processing of the file is completed. Such a transfer early in the life cycle of the record assures that files are properly maintained and preserved and permits the archivist to remedy inadequacies in the documentation by gathering information from individuals who were involved with creation of the records.

Transfer procedures for machine-readable records also differ from the procedures in place for textual records. Normally, paper and microform records are transferred to the archives in regular shipments from the State Records Center or directly from the agencies. The transfer procedures for textual records are initiated by the staff of the records center or the agencies. Currently, there are no

systematic procedures for transfer of machine-readable records scheduled for preservation in the archives. The processing archivist is responsible for keeping track of data files which are scheduled for transfer and initiating the transfer process.

The process of transfer is more complex for machine-readable records than for textual records. Generally, the archivist must submit a written request to the legal custodian, even though the transfer has been approved, in principle, on the disposal authorization. Once the transfer has been approved, arrangements are made with the agency's data processing center for physical transfer of the records. Either a copy of the data file is made by the agency on magnetic tape supplied by the archives or the archives "borrows" the agency's copy of the record for reproduction at ADP or MACC.

Once the archives has physical custody of a data set, the processing archivist sends the tape with a request for copying to a computer operator at ADP. The ADP contact takes responsibility for copying the tape and transferring it to the tape library according to the specifications requested by the archivist. If ADP cannot process the tape, additional processing is performed at MACC. Computer consultants are hired on a free-lance basis when technical problems arise in processing the data. Once a data set has been transferred to the tape library, the processing archivist uses the Wang word processing system as an on-line terminal to examine the data set and verify its contents. Copies of printed output from a data set can be requested at any time. ADP makes back-up copies on magnetic tape supplied by the archives.

The archivist is responsible for performing or supervising the processing routines needed to reformat and validate the records. When processing is completed, the archivist compiles a "user's guide" which contains all of the documentation needed by a patron to access and interpret the data. Often unanticipated technical problems arise in processing the data and the documentation transferred with the record is inadequate. In either case, the archivist must return to the original custodian for assistance or additional information.

Once the data file has been processed and fully documented, the archivist records the location, contents, and physical characteristics on the tape maintenance log. The log is checked periodically to identify data files in need of regular maintenance routines such as precision rewinding, cleaning, or testing for deterioration. Currently, ADP is responsible for physical maintenance of tapes stored in the ADP tape library. However, the archives must submit requests to ADP for special maintenance procedures. Finding aids for machine-readable records are filed with the finding aids for other state records and serviced by the archives regular reference staff.

4.5 Costs

The project developed estimates of the costs to the archives of expanding its program to include machine-readable records. There will be no new expenditures for staff time because one member of the permanent staff will assume responsibility for machine-readable records in conjunction with his other duties as a public records

archivist. The estimates below are based on approximately 60 reels of tape currently in the archives holdings and an estimate of new accessions not to exceed 50 reels of tape per year. Estimates of new costs which will be incorporated into the annual budget are as follows:

Costs for New Accessions:	
Services:	
Computing Services at ADP	$1,600.00
Computing Services at MACC	700.00
Free-lance Programming Services	2,000.00
Supplies:	
50 reels of tape/yr. @$20.00/reel	1,000.00
Costs for Maintenance of Holdings:	
Cleaning and rewinding of 30 reels/ year @$2.00/reel	60.00
Error checking of 10 reels/year @$3.00/reel	30.00
Transfer to new tape of 6 reels/year @$35.00/reel	210.00
TOTAL	$5,600.00

These costs will increase as the number of accessions grows and as data sets currently in the archives have to be transferred to new tape for preservation. However, in many cases records series will be acquired in machine-readable form rather than as hard copy documents. Many of the costs associated with new accessions will replace costs normally associated with processing hard copy records.

PART FIVE: OBJECTIVES FOR AN ONGOING MACHINE-READABLE RECORDS PROGRAM

In addition to continuing with the existing machine-readable records program as an ongoing function of the state archives, this section of the Final Report identifies several objectives which will strengthen and enhance the existing program.

5.1 Promote Scheduling of Machine-Readable Records

Efforts to promote scheduling of machine-readable records should continue in conjunction with the Records and Forms Council and the Records Management Section of the Department of Administration. These efforts should be tailored to meet needs and interests identified by agency records managers. The state archives must adopt a flexible position regarding the format of disposition schedules and the amount of detailed description provided to avoid placing an unrealistic burden on records managers and to encourage their participation. Increased training should be provided through workshops sponsored jointly by the Council, the Records Management Section, and the archives staff. Agency records managers who have mastered the techniques to schedule machine-readable records should be encouraged to provide leadership in this area.

5.2 Submit Revisions to the State Records Management Manual on Scheduling Records

The Records Management Section of the DOA intends to revise its records management manual on inventory and scheduling of machine-readable records. As a basic method of publicizing the need to schedule machine-readable records and training records managers, the archives staff should work closely with the Records Management Section to assure that machine-readable records are discussed in the manual.

5.3 Increase Involvement of Data Processing Departments in Records Management

To date, there has been little direct involvement of data processing departments in formal records management procedures. While many data processing shops have developed retention schedules for machine-readable records, these schedules are not integrated into records management procedures or the provisions for external review of disposition schedules by the Public Records and Forms Board. When formal RDA's exist for machine-readable records, the retention schedules are not built into regular data processing procedures. Increased efforts are needed to integrate the records management programs with data processing procedures.

5.4 Develop Techniques to Handle Complex Data Bases

The archives has developed the technical capacity to handle data files in a rectangular format with fixed or variable length records. Some more complex files can be preserved, but they usually require assistance from programmers or other consultants hired on a free-lance basis. However, no technical solution has been developed for preservation of data which is imbedded in most data base management systems and updated on a regular basis. It seems unlikely that the solution to this problem will be forthcoming without considerable technical expertise which currently is not available to the archives. This challenge should be addressed by the archival profession in conjunction with other information specialists.

5.5 Increase the Visibility of Machine-Readable Records in the Archives and Encourage Research Use

There have been no efforts to publicize or disseminate information about machine-readable records in the state archives. Given the reputation of the archives as a repository for traditional historical records, it seems unlikely that researchers would expect the archives to hold machine-readable records. To encourage research use of the collection, efforts should be made to publicize the archives machine-readable records through their inclusion in published guides to the archives holdings.

APPENDICES

A. General Records Schedule for Machine-Readable Processing Files

B. Revised Scheduling Policy and Sample Records Disposal Authorizations

C. Procedures Manual for Machine-Readable Records

D. Sample User's Guide for a Machine-Readable Records Series

APPENDIX A

General Records Schedule for Machine-Readable Processing Files

Records Disposition Authorization
Form PRB-1

The State of Wisconsin

Disposition Number _____

PUBLIC RECORDS BOARD

Agency: Machine Readable Processing Files--General Schedule	Archival Approval
Division	
Subdivision	Archivist / Date
I hereby request disposition of these records as indicated below.	REMARKS
Head of Agency or Designated Representative / Date	Executive Secretary Signature
SUBMIT ORIGINAL AND FOUR COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.	Date

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period.

This general schedule covers computer generated "processing files" on machine readable media including, but not limited to, punched cards, magnetic tape, discs, drums, cassettes and diskettes. Processing files are relatively temporary files uses to create, correct, reorganize, update or derive output from master data files. Processing files are distinguished from master data files which are relatively permanent machine readable files containing an organized, consistent set of records of complete and accurate information.

The purpose of this schedule is to allow the orderly destruction of machine readable processing files without prior approval of the Public Records Board as required by ss. 16.61(4), 1979 Wis. Stats. The schedule allows agencies to use discretion in determining retention periods for machine readable processing files. However, master data files are not covered by this general schedule. Agencies are required to submit to the State Public Records Board, Form PRB-1, Records Disposal Authorization (RDA) for master data files, before master files can be disposed of.

Because the machine readable media on which many processing files are written are erasable and reusable, the recommendations DISPOSE OF and DESTROY refer only to the contents of the files and not the recording medium. Whenever possible, the medium on which processing files are written should be erased and reused within the guidelines of this general schedule. Timely scheduling of processing files can increase the availablility of space on machine readable media and reduce agency expenditure for stocks of recording media.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES

This schedule is permissive and recommends minimum periods for retention. There is no obligation to dispose of a file when the recommeded retention period expires. The file may be retained as long as desired, but it may not be disposed of sooner than the time specified.

This general schedule has two sections. Section A covers processing files used to create master files that are not updated. These include processing files for one-time studies and surveys: weekly, monthly, annual and other periodic reports where a new master file is created for each subsequent report; and all other non-updated files. They are the products of a process where data are entered into a computer and subjected to procedures such as validation, verification, editing, sorting, etc., in order to create a final master file that is not superseded by a revised file. Section B covers processing files used to create master files that are subsequently updated. Processing files from updated systems are those files associated with systems where data processing procedures are used to delete non-current data and/or add current data to existing master files.

A. Machine Readable Processing Files from Non-updated Sytstems.

1. **Test data [machine readable data files].**

Machine readable files used in testing a system such as routine or benchmark data sets used solely for the purpose of testing.

Retention: Dispose of when no longer needed

2. **Source Data [machine readable data files].**

Raw data abstracted from source documents and used as input for the master file of a one-time study, survey, experiment, etc.

Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
3.	**Intermediate Data Files [machine readable data files].** Machine readable data files containing output from within one run or from one run to a subsequent run that manipulates, sorts and/or moves data through the system, such as edit, correction, reject, suspense, unmatched data, rerun files, etc. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.
4.	**Other Processing Files [maching readable data files].** All other temporary files which contain raw input data for a master file; partially processed data; summaries, aggregations and extracts from a master file; duplicate files no longer needed to back-up a master file; and related temporary files. Retention: Dispose of when no longer needed, provided the files are superseded by a master file which is backed-up.
B.	Machine Readable Processing Files from Updated Systems
5.	**Test Data Files [machine readable data files].** Machine readable files used in testing a system such as routine or benchmark data sets used solely for the purpose of testing. Retention: Dispose of when no longer needed.
6.	**Source Data Files [machine readable data files].** Raw data abstracted from source documents and used as input for the master file of an updatable system. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
7.	**Intermediate Data Files [machine readable data files].** Machine readable data files containing output from within one run or form one run to a subsequent run that manipulates, sorts and/or moves data through the system, such as edit, correction, reject, suspense, unmatched data, rerun files, etc. and used to create a valid transaction file (see 8, below) or a master data file. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated form existing source documents or related machine readable files.
8.	**Valid Transation Files [machine readable data file].** Machine readable data file containing data used with an input master file to create an updated master file. A valid transaction file is output from an edit program which used source data files as input. Retention: Dispose of when no longer needed to update a master file or as back-up to the current generation master file, usually after the third update cycle.
9.	**Non-Current, updated master data file [machine readable data file].** Machine readable data file that has been superseded by a current master file and/or a master history file. Retention: Dispose of when no longer needed as back-up to the current generation master file, usually after the third update cycle.
10.	**Other Processing Files [machine readable data files].** All other temporary files which contain raw input data for a master file; partially processed data; summaries, aggregations, and extracts from a master file; duplicate files no longer needed to back-up a master file; and related temporary files. Retention: Dispose of when no longer needed, provided the files are superseded by a master file which is back-up.

APPENDIX B

Revised Scheduling Policy and Sample Records Disposal Authorizations

CORRESPONDENCE/MEMORANDUM — STATE OF WISCONSIN

Date: June 20, 1983 File Ref:

To: Records and Forms Council

From: Machine Readable Records Committee

Subject: Revised Record Scheduling Policy

PURPOSE

This policy is provided to promote records scheduling. This policy should be applied when new systems are developed, existing systems are changed or a specific record series is reviewed.

Information is stored in many different ways. These storage methods include: paper, microfilm, computer output microfilm (COM), computer or word processing tapes, discs, diskettes, cassette tapes, video cassettes, etc.

With advancing technology, scheduling of all records is necessary regardless of how the information is stored. (Note: Schedule the record, including the storage method.)

POLICY

Schedule the record, including all applicable storage methods, through the current Records Disposition Authorization (RDA) procedures.

Combine all storage methods on the same RDA. Identify all storage methods (i.e., paper, tapes, etc.) for inputs and outputs used in the entire record series. Each storage method may have a different record retention recommendation.

RDA FORMAT

Use the Record Disposition Authorization (Form CPR-1) to schedule all records.

The RDA format should include:

-Agency identification;
-Record information including:
-Title
-Description
-Annual accumulation
-Arrangement
-Storage method
-Retention recommendation (may be different for each storage method).

Each agency may vary in its approach to scheduling records. Attached are three different samples of RDA's that cover records with more than one storage method in the same RDA.

JE:ST:DP11:21
Attachment

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AD-75

Records Disposal Authorization
Form PRB-1

The State of Wisconsin

Disposal Number 131/77

PUBLIC RECORDS BOARD

Agency
Industry, Labor and Human Relations 445

Division
Job Service 620

Subdivision
Unemployment Compensation D.C.

I certify that the records described in this request are not of sufficient administrative value to warrant their further preservation and request that authority for their disposal be granted.

Head of Agency or Designated Representative: James E. Halverson — Date: 6/30/77

SUBMIT ORIGINAL AND THREE COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.

Archival Appraisal

Archivist: F. G. Hall — Date: 10-21-77

REMARKS

Executive Secretary Signature: R. T. Johnson

Date: OCT 2 1977

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, form numbers, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period. (See records disposal procedures in Administrative Practices Manual)
1.	Benefits Claims (Form UC-17), 1975 Weekly benefit claim forms for continued unemployment compensation claims under Section 108.09(1) of the Wisconsin Statutes. This disposal authorization supersedes RDA 13/76-01. Volume: 300 cubic feet Arrangement: In order of processing Recommendation: Retain claim forms six (6) weeks after microfilm copy has been prepared and delivered to the Job Service Division, then destroy. (The microfilm copy prepared in accordance with Section 16.80 of the Wisconsin State Statues and Chapter PR-1 of the Administrative code). Retain microfilm copy for three (3) years after last activity and destroy.

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Records Disposal Authorization
(GPR-A)

The State of Wisconsin

Disposal Number 062/83

APR 8 1983 PUBLIC RECORDS BOARD

Agency: Revenue (566)

Division: State and Local Finance (350)

Subdivision: Property Tax

I certify that the records described in this request are not of sufficient administrative value to warrant their further preservation and request that authority for their disposal be granted.

Head of Agency or Designated Representative: Sylvan Leabman (350) Date: 4/7/83

SUBMIT ORIGINAL AND THREE COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.

Approved

Please note the restrictions on record destruction contained in s. 19.35(5), Wis. Stats. (Open Records Law).

Archivist: F. G. Hum Date: 5-11-83

REMARKS:

Executive Secretary Signature: Mary Ann Throdke Date: 5/11/83

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, form numbers, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period. (See records disposal procedures in Administrative Practices Manual)
01	Title: State Assessment of Manufacturing (SAM) Source Documents. 1974 -

Use & Subjects Covered: This record series consists of the M-forms, CAMPAS valuation data, valuation change record, and file maintenance forms used by the Department of Revenue to perform an annual assessment of manufacturing real and personal property as required by Sec. 70.995 of the Wis. Stats.

Annual Accumulation: 30 cu. ft.

Arrangement: Parcel number within municipality, county and administrative area.

Recommendation:

File maintenance forms - destroy after determining that changes have been recorded on the master data file.

CAMPAS Valuation Data - retain most current data in parcel file. Destroy all previous CAMPAS valuation data.

M-Forms - retain 6 years in the active parcel file and destroy.

Valuation Change Record (PA-531's) - retain 10 years and destroy.

(This authorization supercedes #139/81/002.)

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Records Disposal Authorization

Form PRB-1A

APR 8 1983

DISPOSAL NUMBER 062/83

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
02	Title: State Assessment of Manufacturing (SAM) File Maintenance. 1974 - Use & Subjects Covered: This record series consists of the computer print-outs of file maintenance changes to the SAM master file. The maintenance includes changes to name, address, legal description, computer numbers, school codes, etc. Annual Accumulation: 3 cu. ft. Arrangement: Chronological by computer number within administrative area, county and municipality. Recommendation: Destroy after determining that changes have been recorded on the master data file. (This supercedes RDA #139/81/009.)
03	Title: State Assessment of Manufacturing (SAM) Output Reports. 1974 - Use & Subjects Covered: This record series consists of the hard copy output produced by the SAM master file. It includes but is not limited to school change reports, reason code reports, etc. The following records are covered under separate authorizations: Alpha Logs, RDA # 42/82/001; Full Value Rolls, RDA # 139/81/001; Equated Value Rolls, RDA # 139/81/003. Annual Accumulation: 4 cu. ft. Arrangement: Varies. Recommendation: Retain until the administrative use has passed and destroy.
04	Title: State Assessment of Manufacturing (SAM) Output, Microforms. 1974 - Use & Subjects Covered: This record series consists of the microforms of output produced by the State Assessment of Manufacturing (SAM) master file. Annual Accumulation: Minimal. Arrangement: Varies. Recommendation: Transfer silver master negative microfiche to the State Historical Society immediately after preparation and verification for preservation with the authority to weed. Retain Department of Revenue microfiche until the administrative use has passed and destroy.

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Disposal Authorization

SPRB-1A

APR 6 1983

DISPOSAL NUMBER 062/83

DESCRIPTION OF RECORD SERIES

Title: State Assessment of Manufacturing Property (SAM) Master File. 1974 -

Use & Subjects Covered: This series is the machine readable SAM master file which contains assessment data and relevant information used by the Department of Revenue to perform an annual assessment of manufacturing real and personal property as mandated by Sec. 70.995 of the Wis. Stats. There are three individual masters in this program prior to 1984; PA-531 Master, Real Master and Personal Master. Effective in 1984, this program will be changed to an IMS Data Base.

The PA-531 Master File contains the computer number, school code, reason code change, number of acres, land and improvement value, name and address of manufacturer, and beginning and ending values resulting from changes.

The Personal Master File contains the computer number, name and address of manufacturer, tax code (school district #), business code (SIC code), and aggregate ratio of all classes of property within that municipality.

The Real Master File contains the computer number, legal description, name and address of manufacturer, school district #, business (SIC) code, local parcel number and location (Sec., Town, Range), County Register of Deeds parcel recording information, aggregate ratio of all classes of property within that municipality, and number of acres and value of the land is given for each type of land (general, public, forest and exempt). An improvement value is given for the general land category.

The computer generated "processing files" of this master file are covered under the general schedule RDA #187/81.

Unit of Analysis: Parcel.

Arrangement/Sort Sequence: Administrative Area, County, Municipality, Computer Number Order.

Source Documents: M-Forms, CAMPAS valuation data, valuation change record (PA-531) and file maintenance forms.

Recommendation: Freeze the master file annually when the data is passed to Equalization's STRAT system (approx. August 10) and copy the master and forward it annually to the State Historical Society along with the program documentation.

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State of Wisconsin

Disposition Number _____

PUBLIC RECORDS BOARD

Agency
Department of Public Instruction

Division
Management and Budget

Subdivision
Information Services

I hereby request disposition of these records as indicated below.

Head of Agency or Designated Representative — Date

Herbert Grover

SUBMIT ORIGINAL AND FOUR COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.

Archival Approval

Archivist — Date

REMARKS

Executive Secretary Signature

Date

EXAMPLE

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period.
1.	**Public School Enrollment File, c. 1962** The file contains data on the number of boys and girls enrolled in each public school on the third Friday of September, by grade level, the school code, district name and code, CESA and school year. These data are required by Section 115.30(3), Wisconsin Statutes, which require local school districts to report the number of children enrolled in elementary and high school grades. a. Medium: Paper Document (PI-1204 and PI-1205 or their equivalent) Annual Accumulation: ~~Annual~~ 1 cubic foot Arrangement: Alphabetical by school district/school. Recommendation: Retain paper document for one (1) year after microfilming has been completed and microfilm copies received by division, then destroy. b. Medium: Microfilm Annual Accumulation: .5 cubic feet Arrangement: Alphabetical by school district/school. (Microfilm prepared in accordance with 16.80 of the Wisconsin Statutes.) Location: Silver negative properly stored for permanent use. Roll film used exclusively in the work area. Recommendation: Retain for 10 years and destroy.

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RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
1.	c. Medium: Machine-readable data files. Annual Accumulation: 300 cubic feet Arrangement: District/School sequence. Recommendation: After one year transfer a copy of machine-readable data files to the State Historical Society for preservation. (This agency recommends that all requests for information contained in these files be referred to the Department of Public Instruction to ensure proper interpretation.)

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APPENDIX C

Procedures Manual for Machine-Readable Records

STATE HISTORICAL SOCIETY OF WISCONSIN

ARCHIVES DIVISION

PROCEDURES MANUAL FOR MACHINE READABLE RECORDS

June 1983

INTRODUCTION

The purpose of this manual is to outline current policies and procedures for scheduling, appraisal, transfer, processing, description, storage, and maintenance of machine-readable. It is intended as a reference manual for members of the archives' staff who handle machine-readable records. Many of the procedures are subject to change and will require rev sion as information technology changes and as programs to preserve machine-readable records evolve.

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1.0 Scheduling:

The drafting of retention schedules for machine-readable records is primarily the responsibility of the original custodian of the records. The archivist should encourage records managers and the legal custodians to include machine-readable records in RDA's through the development of comprehensive records schedules which cover the input documents, machine-readable records, and output reports regardless of their format or storage media. The Records and Forms Management Council "Revised Record Scheduling Policy" of June 20, 1983 outlines the basic principles for drafting comprehensive schedules. Special attention should be paid to machine-readable records when new systems are developed, existing systems are revised, or a particular records series is reviewed.

1.1 Drafting RDA's:

The contents and format of RDA's should conform to policies adopted by the Records and Forms Management Council and approved by the Public Records and Forms Board.

The archivist should assist the original custodian in distinguishing master data files from processing files which are covered by the general schedule for machine-readable processing files (RDA #187/81). The archivist should assist records custodians in identifying machine-readable master files which should be transferred to the archives for long-term preservation. Source documents, output reports, and documentation should be scheduled along with the machine-readable data files.

1.2 Retention Periods:

Machine-readable which merit long-term preservation should be transferred to the archives as soon as possible after file processing is completed. If the original custodian mandates a relatively long retention period (i.e. five years or more), the archives should make a copy of the data file for preservation purposes.

2.0 Appraisal:

Appraisal principles and procedures for machine-readable records are based on the existing standards for textual records. The informational content of the file is the primary concern. Whenever possible, machine-readable records should be evaluated in conjunction with related textual records such as the input documents and output reports.

Often alternative versions of machine-readable records exist in hard copy. In such cases, determining the most desirable format(s) and storage media for long-term retention are essential aspects of appraisal. Such evaluations should consider the liklihood that the micro-level data file will be used for statistical analysis or that researchers will request summary statistics or access to a single case. The amount of processing required to prepare the machine-readable and hard copy versions, the amount of storage space required for each version, and the relative costs of preservation should be taken into account.

In some cases, machine-readable records which do not merit long-term retention by the archives can be used to create valuable by-products. Machine-readable records might be used to generate COM output as an alternative to retention of paper files, to develop sampling frames for selecting samples of related paper files, or to generate indexes to related hard copy records.

The appraisal checklist in Section 2.1 lists some of the common intellectual and practical considerations for evaluating machine-readable records. The checklist should be used as a guide to assist the machine-readable records archivist in making appraisal recommendations. Often it is necessary to write a narrative appraisal report stating the rationale for the appraisal recommendation. Usually, the descpritions of machine-readable records on RDA's do not provide enough information to permit the archivist to make an appraisal recommendation or draft an appraisal report. The appraisal checklist should assist the archivist in gathering relevant information from the original custodian to make a recommendation.

2.1 Appraisal Checklist for Machine-Readable Records:

Intellectual Considerations:

Does the data file have:
- legal value? Yes___ No___ Maybe___
- evidential value? Yes___ No___ Maybe___
- informational value? Yes___ No___ Maybe___

Does the data file have:
- immediate research value? Yes___ No___ Maybe___
- long-term research value? Yes___ No___ Maybe___

Does the data file contain original micro-level data? Yes___ No___

Is the file likely to be used for:
- statistical analysis? Yes___ No___ Maybe___
- retrieval of single cases? Yes___ No___ Maybe___

Is the data file: A one time study?___ Ongoing?___

Is the data file in danger of deterioration or destruction in its present location? Yes___ No___ Maybe___

Do similar records exist elsewhere? Yes___ No___
- Are they: Hard Copy___ Microforms___
- Covered by an RDA? Yes___ No___
  RDA #_____

Do related records contain information not included in the data file? Yes___ No___

Does the data file contain information not included in related records? Yes___ No___

Are related records more desirable
- re: the cost of preservation? Yes___ No___
- re: arrangement? Yes___ No___

Will the other records be preserved? Yes___ No___

Are there restrictions on use:
- of textual records? Yes___ No___
- of machine-readable records? Yes___ No___

Technical Considerations:

Is the data file readable? Yes___ No___

Is the documentation complete? Yes___ No___

Is special software required? Yes___ No___

Approximate volume of hard copy records: _____

Approximate number of logical records: _____

Logical records length:

3.0 Transfer of Machine-Readable Records from Agencies to the Archives:

As a long-term goal of a records management program for machine-readable records, agencies should initiate transfer of machine-readable records to the archives. Data processing and records management procedures should be established to transfer permanent data sets when their retention period by the agencies expires. Retention schedules should be included in data processing procedures and documentation. Until such procedures are established, the archives staff will have to initiate transfer procedures in most cases.

3.1 Methods of Transfer:

There are two methods for transfer of data from the agencies to the archives:

1) The agency loans a copy of the master data file to the archives for copying and transfer to the ADP tape library. The archives staff sends the data file to ADP for copying as soon as possible after it is received. The original version of the data file is returned to the original custodian after it has been copied and the agency is responsible for its disposition. A back-up copy of the data set is made at ADP for storage in the SHSW vault.

2) The archives provides the original custodian with a blank tape and requests the agency to make a copy of the data file on archives-supplied tape. This copy is sent to ADP where a copy is made for the ADP tape library. If possible, the copy of the data set on the archives-supplied tape serves as the back-up copy. The original custodian assumes responsibility for disposition of the original.

Either method is satisfactory because each allows the agency to reuse the storage medium and permits the archives to monitor the quality, age, and maintenance of tapes in archival custody.

3.2 Format:

Whenever possible, data files transferred to the archives should be written in the following format(s):

Mode:	EBCDIC or ASCII
Tracks:	Nine
Density:	1600 or 6250 bpi
Label:	No Label
Parity:	Odd or Even

ADP does not process 800 bpi tapes.

3.3 Data File Transfer Form:

The data file transfer form (Form # AR-06-10) should accompany each file transferred to SHSW. The form is completed by the agency staff member who supervises transfer or copying of the file, usually a

data processing staff member. Copies of the record layout, codebook, and source documents should accompany the file when it is transferred, unless they have been collected in advance by the archivist. Whenever possible, agencies should provide a dump of the logical records at the beginning and end of the file.

DATA FILE TRANSFER/MACHINE READABLE RECORDS

State Historical Society
Archives Division

*1) *Complete one form for each file on a tape.*
2) Distribute the copies of this form as denoted below.
3) Blank forms are available from: Archives Division, State Historical Society.

Agency:	Records Disposition Authorization/Schedule Number:
Division:	File Name (Series Title)*:
Transferred by:	System Name:
Phone Number:	Dates or Years of Records:
Transfer Date:	Transfer Approved By:

This file is written on tape number(s) (external label):	
This file was computer generated on:	Date file was created:

File is number _____ of _____ files on this reel of tape.

Number of logical records: _____

Length of longest logical record is _____ characters.

Number of blocks: _____

Blocking factor is _____ logical records per block.

Block size is _____ characters.

Number of characters in last block is _____

MODE	TRACK	PARITY	DENSITY	LABEL
☐ BCD	☐ 7	☐ Even	☐ 556	☐ None
☐ EBCDIC	☐ 9	☐ Odd	☐ 800	☐ IBM
☐ ASCII			☐ 1600	☐ ANSI
☐ FIELDATA			☐ 6250	☐ Other
☐ Other				

Comments:

Ply 1 - State Historical Society
Ply 2 - (Yellow) Data Processing/Operations
Ply 3 - (Pink) User/Custodian of Records
Ply 4 - (White) Departmental Records Manager

AR-06-10

4.0 Accessioning Machine-Readable Records:

The accessioner is responsible for assigning accession numbers, completing accession records for each data file transferred to the archives, informing the processing archivist of new accessions, and placing tapes in the appropriate storage area. Unprocessed data files should be passed on to the archivist for immediate processing or stored in the vault if a delay is anticipated prior to processing. Procedures for accessioning textual records should be followed for machine-readable data files.

4.1 Processing Conventional Data Sets:

Normally, data files should be processed as soon as possible after they are transferred to the archives. Immediate processing prevents additional deterioration of the storage medium and permits the processing archivists to locate agency contacts who can supply technical information and assistance with reformatting the file and correcting any gaps in the documentation. If a delay of more than one year is anticipated before the file will be processed, data files which do not reside on new tape should be copied onto new tape. Data on non-conventional storage media, such a punched cards, should be transferred to magnetic tape as soon as they are accessioned. MACC has facilities for transferring data stored on punched cards to tape.

4.2 Transfer of Conventional Data Sets to ADP:

Data sets which conform to the following format generally require only a tape-to-tape copy procedure for transfer to ADP:

Mode:	EBCDIC (ASCII)
Density:	1600 or 6250
Label:	No Label (IBM Label)
Track:	Nine
Parity:	Odd or Even
File Structure:	Rectangular

The processing archivist should complete the ADP Operations - Tape Copy Information Form. This form is self-explanatory, except:

Part B.
Vol-Ser Names: Fill in the external label (reel i.d., tape number) of the input tape.

Part C.
Data Set Name: This is a temporary name for the input file used in processing only. Use any convenient name.
Record Length: For variable length records, indicate the length of the longest record.
Blocking: Indicate the length of the longest block.

Part D.
Ouput Tape Density: The output density for tapes stored at ADP normally is 6250 bpi. ADP may determine the density for tapes stored in their tape library. Output density for back-up copies stored in the SHSW vault should be specified by the processing archivist as 1600 or 6250 bpi.

ADMINISTRATIVE DATA PROCESSING - OPERATIONS

TAPE COPY REQUEST

TO: Administrative Data Processing (Student Technician)
750 University Avenue Room 53

FROM: Requestors Name _____

Dept. _____ Phone # _____

Address _____

_____

Eligibility Guidelines

1) Requestor must be associated with the university system or the state or federal government to be eligible.

2) The requestor must have a MACC or ADP account with a current balance of at least $50.00. Contact ADP Business Office at 1210 Dayton Street to set up or add money to an account.

Account # _____ Balance _____ As of _____

3) The requestor must supply both the input and output tapes. ADP does not sell tapes. If it's necessary to purchase a tape, this can be done at MACC tape library.

4) If there aren't any problems with items 1 - 3, the requestor is eligible to submit tapes for processing and should fill out the required information on this sheet and also fill out a Project Request form which will be forwarded to the ADP Business Office.

Checked by _____ (ADP person)

5) The approximate turnover time for a request will be 5 working days from the time of the request if there aren't any problems.

Approximate Cost

The standard setup charge is $10.00 for first tape or data set and $2.50 for each additional tape or data set plus the machine charges to copy the tape. There is a $2.00 charge for each tape label dump.

If the request requires involvement of the Technical Support staff, there will be an additional charge of $20.00. The requestor will be contacted prior to this.

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ADMINISTRATIVE DATA PROCESSING - OPERATIONS

TAPE COPY INFORMATION

A separate sheet must be filled out for each individual tape to tape copy except for a multivolume data set for which volumes should be listed in sequence on one sheet. A tape with multiple data sets should have each DSN listed in sequence. On labeled tape the external label name must match the internal label names. We do not process 800 BPI tapes. Tapes are assumed to be EBCDIC.

If there are only ASCII tapes involved please note this in the comments below.

A. Input Tape Information: Density is 1600(DEN=3) _ 6250(DEN=4) _

Label Information: Standard OS _ No Labels _ Other: _____

B. Vol=ser Name: (1)_____ (2)_____ (3)_____ (4)_____ (5)_____

C. Input DSN Info: One per tape except on multi data set volumes-list in sequence. Provide the position of the DSN also, i.e., 3rd data set on tape, etc.

	Data Set Name	# of Records	Record Length	Blocking	Record Type		
1)					Fixed	Variable	Undefined
2)					Fixed	Variable	Undefined
3)					Fixed	Variable	Undefined
4)					Fixed	Variable	Undefined
5)					Fixed	Variable	Undefined

D. Output Tape Information: Density Required 1600(DEN=3) _ 6250(DEN=4) _

E. Output Vol Ser: (1)_____ (2)_____ (3)_____ (4)_____ (5)_____

F. Output DSN Info:

	Data Set Name	Record Length	Blocking	Record Type		
1)				Fixed	Variable	Undefined
2)				Fixed	Variable	Undefined
3)				Fixed	Variable	Undefined
4)				Fixed	Variable	Undefined
5)				Fixed	Variable	Undefined

COMMENTS:

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Part E.
Output Vol=Ser: Leave blank for copies stored in the ADP tape library. This is determined by ADP. Specify the external label of SHSW-supplied tapes for back-up copies.

Part F.
Output DSN Info: Follow the Data Set Naming Conventions described in Section 5.0 of this manual.
Records type and block size: ADP determines the record type and block size of the output file for data sets stored in the ADP tape library. A fixed block size not to exceed 32760 characters should be specified for back-up copies stored in the SHSW vault.

4.4 Transfer Procedures and ADP Contacts:

Tapes for transfer to ADP will be picked up by the ADP courier if they are placed on the ADP delivery shelf. Our current user/programmer contact at ADP is Kathy Perez, 263-2562. Input tapes will be returned to the ADP shelf by the courier after they have been copied. Advanced technical question should be referred to Jerry O'Reilly at 263-4805.

4.5 Verification of the data transfer:

The accuracy of data sets transferred to ADP must be verified by comparing dumps of the data with the record layout and the codebooks.

Once the data set has been transferred to ADP, it can be examined on the screen of a WANG terminal or from printed output. Output from the file can be obtained by submitting the JCL from SPOT through a 3270 attachment or by submitting a batch run with the JCL in a Wang document. To examine the data set, submit the following JCL:

JCL for verifying transfer of data sets to ADP. This JCL copies the first 10 or the last 10 logical records from an ADP tape data set to a LOOK file:

```
//Uxxx JOB (,xxx,,100,,1111,),nnnnnnnn.xxx,
//    GROUP=ARC,MSGLEVEL=1,CLASS=Q,TIME=1
//*   Insert user initials (xxx) and user # (nnnnnnnn)
//STEP1    EXEC PGM=SELECT,PARM=' OPTION1,OPTION2,OPTION3,OPTION4 '
//*    Option3 allows printing or suppression of HEX. (Default is HEX).
//*    Option4 allows a translation or no translation of non-printing.
//*    characters. (Default is a translation).
//*    See the SELECT Manual for options.
//SYSPRINT DD SYSOUT=*
//SYSUT1   DD DSN=U.ARC.Aiiiiiii,DISP=SHR
//*    Insert the DSN (iiiiiii) of the desired data set.
//SYSIN    DD *
 STOPN=10
//*   Select stops processing after the first 10 logical records.

                OR

 STARTN= Number of logical records minus 10
//*   Select starts processing 10 logical records before the EOF.

                OR

 STOPN=10
 ENDGRP
 STARTN= Number of logical records minus 20
//*   SELECT processes the first 10 and last 10 logical records in the
//*   file.
```

Output is routed to a LOOK file. The output includes a record count. The accuracy of the data set can be verified by examining the data on the screen. However, a printout of the dump is a preferable format for verification. The contents of the LOOK file can be routed to the laser printer or to other remote printers. Printed output is delivered to the ADP shelf by the ADP courier, generally on the day following the batch run. At a minimum, the first 10 and the last 10 logical records should be printed for verification purposes. In some cases it may be necessary to print more logical records.

The printouts should be compared with the tape layout, codebooks, and any dumps of the data provided by the original custodian to assure that the data was copied accurately and that the documentation matches the data. Copies of printed output should be retained and included as "dumps" in the documentation. (See Section 6.11).

The SELECT utility can be used for additional data verification such as checking for outlying values, obtaining group counts for specific record types or subsets, or verification of any specific record. The SELECT manual contains details on the SELECT commands. SAS can be used for statistical analyses of the data which may be useful in some cases.

4.6 Creation of Back-up copies:

Each data set stored at ADP should be backed-up with one copy of the file. Back-up copies are stored in the SHSW vault. Back-up copies should conform to the following standards:

Mode:	EBCDIC or ASCII
Density:	1600 or 6250
Label:	No Label
Track:	Nine
Parity:	Even or Odd

The back-up copy is not necessarily an identical copy of the master. In some cases it is desirable to retain two different sort sequences of a data set, one as the master and the second as the back-up. Masters stored at ADP at a density of 6250 bpi can be backed-up with 1600 bpi tapes.

The tape copy created during the transfer process can be used as the back-up copy, provided the copy was written on new tape and the file conforms to the technical specifications listed above. If such a back-up copy is not available, one should be made. ADP will make tape to tape copies. However, the processing archivist should be aware of the technical characteristics of the output tapes. Hardware tape marks and software DCB's (data control blocks) and BCW's (block control words) are written on many ADP tapes by the tape copy utilities. Efforts should be made to create back-up copies which are not dependent on ADP hardware or software.

4.7 Transfer of Non-Conventional Data Sets:

Frequently, data sets provided by the agencies do not conform to the standard format and require additional processing at ADP or at MACC. Typically, such processing will require the assistance of a contract analyst or programmer. Both ADP and MACC have contract analyst services available. Progamming assistance can also be obtained from free-lance programmers. Currently. MACC is compiling a directory of individuals available for free-lance consulting, programming, and related data processing services. Once non-conventional data sets have been reformatted into the standard format, they can be processed like conventional data sets.

5.0 Assigning Series Numbers and Data Set Naming Conventions:

To facilitate retrieval of data sets stored at ADP and to coordinate data sets with their finding aids, the output data set names (DSN) for data files stored at ADP must conform to the following naming conventions:

All data set names begin with the prefix:
U.ARC.

followed by:

Any alphanumeric character or character string (A is preferred for state records; CL is preferred for county and local records),

followed by:

The four-digit numeric SHSW archives series number or the county and lcoal records series number,

followed by:

The sequence number of the data file.
The sequence number refers to the sequence of each data file within a record series. For example, if Series 2052 is an on-going series which includes one data file for each year beginning in 1976, the sequence number for the 1976 file is 001, the sequence number for the 1977 file is 002, etc. The DSN for the 1976 file is:
U.ARC.A2052001
The DSN for the 1977 file is:
U.ARC.A2052002, etc.
Data file for one-time surveys should use 001 as the sequence number.

Data set names specified by the processing archivist should not be changed by ADP unless they consult with the processing archivist. This should be noted in the "Comments" section of Part F of the ADP Tape Copy Information Form.

6.0 Documentation/Finding Aids:

The processing archivist is responsible for compiling documentation which will provide users with the technical information required to access each data set and interpret its contents. Generally, this documentation will be compiled as a finding aid called as user's guide.

6.1 Format for User's Guides

At a minimum, the user's guide must contain the elements listed below and should conform to the format for User's Guides:

6.2 Title Page:

The title page includes:

a) The heading: "Archives Division, State Historical Society of Wisconsin"

b)The name of the Agency, Division, and Subdivision of the Original Custodian

c) The title: "Users Guide for the Series Title, Inclusive Dates

d) The media indicator " # machine readable data file(s) "

e) The series number

f) Indication of Restricted Access: "Restricted" (if applicable)

6.3 Restrictions:

If access is restricted, the second page consists of a note indicating the nature of the restrictions, statutory references, duration of restrictions, and procedures for requesting access.

6.4 Table of Contents

6.5 Abstract:

The abstract should contain information sufficient to provide potential researchers with a summary overview and description of the contents and technical characteristics of each data file and all of the data elements needed to catalog the series according to internal archives' procedures or the MARC format for archives and manuscripts. Generally, one abstract will suffice for each open ended series unless there were substantial revisions to the system at some point. A "List of Holdings" can be used to provide information about each file in an ongoing series. The abstract should include the following information:

Series Number:

Agency:
Division:
Subdivision:

Series Title, Inclusive Dates, and General Materials Designator:
for open-ended series list the earliest date
the general materials designator usually is written as:
machine-readable data files

Summary of Contents:

Geographic Coverage:
include any consistenly available geographic subdivisions

Unit of Analysis:

Sort Sequence:

Technical Description:
File Structure:
Number of Logical Records:
for open-ended series, list the number of logical records in each data file on the list of holdings)
Logical Record Length:

Finding Aids:
include a citation to the user's guide and any other finding aids in the custody of the archives or original custodian

Related Records:

Restrictions on Use:
include the source or authority, termination dats, and any special access provisions.

Suggested Citation:
Agency, Division, Subdivision, "Series Title," Date,
G.M.D. , State Historical Society of Wisconsin, Archives Division.

Processed by name , year
Accession Number:
RDA Number:

6.6 Sample Abstract

ABSTRACT

SERIES NUMBER: 1559

AGENCY: Department of Revenue
DIVISION: Division of State and Local Finance
SUBDIVISION: Bureau of Property Tax

SERIES TITLE: SALES ANALYSIS SYSTEM MASTER FILE machine-readable data file , 1975- .

SUMMARY OF CONTENTS: Numeric data files containing data on approximately 100,000 parcels of real property sold each year in Wisconsin. Each parcel is identified by administrative area, county, and municipality, sales number, and parcel number. Data on each parcel includes property class, number of units, intended use, sales date, sales price, assessed value of land and improvements, the ratio of assessed value to sales price, and a few other descriptive items. The data are used to calculate the ratio of assessed values to market prices in different areas of Wisconsin.

GEOGRAPHIC COVERAGE: Wisconsin, and thereunder by administrative area, county, and municipality.

UNIT OF ANALYSIS: Parcel.

SORT SEQUENCE: Numeric by administrative area, and thereunder by county, municipal code number, and sales date.

TECHNICAL DESCRIPTION:
FILE STRUCTURE: Rectangular
FILE SIZE: See: "List of Holdings" (p. 3)

FINDING AIDS: "User's Guide for the SALES ANALYSIS SYSTEM MASTER FILE machine-readable data file , 1975- ." This descriptive documentation is available from the Archives Division, State Historical Society of Wisconsin.

RELATED RECORDS: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, FIELDED SALES ANALYSIS SYSTEM MASTER FILE, 1975- machine-readable data files . Archives Division, State Historical Society of Wisconsin.

RESTRICTIONS ON USE: Access to this file is restricted by s. 77.23, Wisconsin Statutes. Requests for access should be directed to the Director of the Bureau of Property Tax.

SUGGESTED CITATION: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, "Sales Analysis System Master File" machine-readable data file , 1975- . Archives Division, State Historical Society of Wisconsin, Series 1559.

Processed by K. Unertl and M. Hedstrom, 1981.
Acc. No. 1981/156.
RDA No. 193/80(1).

6.7 Archivist's Processing Notes:

The archivist's processing notes are used to inform the researcher of any changes made to the data as it was processed and to indicate any technical and interpretive problems with the data or the documentation. Processing notes should include information about any conversions or reformatting of the data such as changes to the character code, unpacking packed decimal fields, converting data from systems files to flat files, blank filling variable length records, etc. Processing notes should also mention any known errors in coding or keying the data, missing data, inconsistencies between the data and documentation, undefined characters, and other technical problems.

6.8 Source Documents:

Include a copy of the source document(s).

6.9 Record Layout:

The record layout must include the following information for each field (variable) in the file.:

a) Variable name
b) Width of the field
c) Location of the field
d) Character type numeric, alphanumeric, packed decimal, etc. .

If all variables are the same type, this can be noted on the record layout.

The record layout must be legible. If diagrams provided by the agency are illegible or incorrect, the record layout should be typed in a columnar format.

6.10 Codebooks:

The user's guide must include a list of all codes used to represent data in each file. If the use of codes is limited to a few variables or a few values for each variable,, codes may be listed in the record layout. Extensive coding requires a separate codebook.

6.11 Dumps:

Include a dump of at least the first 10 and last 10 logical records in each file included in the series. If the series contains confidential information, dumps should be edited to delete fields with confidential information or access to the dumps should be withheld until researchers have secured permission to access the file from the original custodian.

6.12 Organization, Reproduction, and Filing of User's Guides:

There should be two copies of each user's guide: one filed in the reading room with state records' inventories and one files with state record inventories in the processing area. The user's guide should be filed by the series number of the data file.

In some cases, there will be a considerable volume of documentation which contributes to interpretation of the contents of data files, but is not included in the user's guide. Examples of such types of documentation include administrative records of research projects, original source documents, preliminary and final analyses and reports, and records describing the file or database development such as sampling procedures, development of data dictionary definitions, error rates, data collection, etc. Generally, such records should be processed as separate series. The abstract in the user's guide should list such series in the related records note.

In the case of confidential records, portions of the documentation usually included in the user's guide may also carry restrictions. Dumps of data in the file must be restricted. (See: Section 6.11).

7.0 Storage and Maintenance:

Master copies of data sets are stored in the ADP tape library. Back-up copies are stored in the SHSW vault.

7.1 Storage Conditions:

The following list contains optimal storage conditions for magnetic tape. Tapes stored under these conditions can be expected to last from 12 to 20 years. Whenever possible, these conditions should be used as guidelines and storage areas with frequent or extreme fluctuations in temperature or humidity should be avoided.

Temperature: 65 degrees F (+ or - 3 degrees)
Humidity: 40 % RH (+ or - 5%)
Free from Dust, Smoke, and Strong Magnetic Fields
Store Tapes Upright on a Grounded Metal Rack
Store Tapes in Plastic Canisters which Support the Reel at the Hub
Place External Labels on all Tape Reels

7.2 Storage of Back-up Copies in the SHSW Vault

Back-up copies should have two external labels. One label contains the reel number. External reel numbers are sequential numbers which begin with the prefix SH and are followed by 4 digits. To determine the next reel number for an unnumbered SHSW tape (See: Section 7.4).

The second external label should contain the following information in the following format:

Series Number Series Title
LRECL= NLREC= BF= BS=
Label DEN Track

Dup/Master Restrictions

Reel i.d. Reel Sequence

7.3 Tape Maintenance

The archives is responsible for maintenance of data sets stored in the SHSW vault and for monitoring maintenance of SHSW data files stored at ADP. The following maintenance schedule should be followed.

Once per six months:
Turn the tape reel one-quarter turn on the storage rack to prevent sagging.

Once per year:

Test read a sample of tapes in storage.

If the tape contains permanent read errors, the data should be transferred to a new tape.

Examine the tape reel visually for cinching; protruding layers of tape; broken reel, hub, or canister; surface contamination by dirt; creases, scratches, and other signs of physical deterioration.

Most of the problems listed above can be remedied by a cleaning and precision rewinding of the tape. After maintenance procedures are performed the tape should be read again to check for permanent read errors.

Every 1-2 Years:

Tapes should be cleaned and precisions rewound regardless of physical appearance or evidence of read errors.

Every 12-20 Years (or more frequently if evidence of deterioration appears):

Transfer the data file to new magnetic tape.

Tapes may be expected to last 12 to 20 years under optimum storage and maintenance conditions. However, it may be necessary to transfer data to new tape more frequently if any of the indications of physical deterioration listed above appear and cannot be remedied by cleaning and rewinding the tape. Less than optimal storage conditions, especially frequent or extreme fluctuations in temperature and humidity, accelerate tape deterioration.

7.4 Tape Maintenance Log:

The tape maintenance log is stored in Wang Document #1280H.

Purpose: The purpose of the tape management log is:

1) to maintain a record of the status, location, and physical characteristics of each tape in the archives and of any tapes stored elsewhere which contain public records in the custody of the archives;

2) to keep a record of the physical condition and maintenance performed on tapes in the archives' custody;

3) to record the series number, accession number, file name, data set name (if required for access), creation date, and restrictions on access for each file stored on each tape; and

4) to maintain a record of the tape number(s) which indicate the physical location of each series in machine-readable form.

Design: The log has one logical record per reel of tape. This record contains tape specific information which describes the physical characteristics of the tape. Each tape record is followed by one record of file information for each file on the tape. The file information consists of the sequence of the file on the tape, the series and/or accession number, a truncated version of the file name, the data set name (for internally labelled tapes), the creation date, and any restrictions on access. All other descriptive information pertaining to machine-readable data files is located in the finding aids. There is one word processing document page per reel of tape.

Updating: The log should be updated whenever the contents, physical characteristics, or location of a tape changes. The first data element in each record contains the date that the log was updated. Page W of Wang Document 1280H contains a blank form for use when information about new tapes or new data files are added to the log. This page also contains the codes used to record information in the log.

Use: The tape maintenance log is used to record information about each tape and each file in the archives custody. It can be used to retrieve information about a specific record series or reel of tape by using the search function to locate all pertenant information in the log. The log should also be used in conjunction with tape maintenance procedures to locate all tapes in need of maintenance.

7.5 Sample Record for Each Reel of Tape

Today's Date: .....
Tape Number: .....
Status: .
Physical Location: .....
Other Number .....
Number of Tracks: .
Density: ....
Parity: .
Label: ..
Computer Generated On: ....
Tape Length: ....
Certified Density: ....
Manufacturer: .
Purchase Date: ....
Date Physical Status Changed: ....
Type of Change: .
Date of Precision Rewind: ....
Reel Sequence: .....
Number of Files: ...

7.6 Sample Record for Each Data File

File Sequence: .....
Series Number: .....
Accession Number: .....
File Name: .....
Data Set Name: .....
Date Generated: ....
Access: .

Data file records are repeated for each file on a reel of tape

7.7 Tape Maintenance Log Codes:

Today's Date:	YYMMDD Enter date that log is updated or new data is entered.
Tape Number:	External Label (SHxxxx or ADP Vol.Ser. #)
Status:	Status of Tape: M Master D Duplicate S Scratch Tape W Work Tape
Physical Location:	VAULT (=SHSW Vault) DPLS MACC ADP STAFF (=Processing Staff)
Other Number:	Additional External Label (If tape is stored at a computer center, enter the i.d. needed to access the tape.)
Number of Tracks:	7 or 9
Density:	(In bpi.): 0556 0800 1600 6250
Parity:	O Odd E Even U Unknown
Label:	UL Unlabeled AL ANSI Standard Label IL IBM Label OL Other Label
Computer Genereated On:	MACC (=UNIVAC 1100) ADP (=IBM 370/168)
Tape Length:	(In feet.): 0600 1200 2400 3200
Certified Density:	Manufacturer's certified maximum density: (In bpi.): 0556 0800 1600 6250

Tape Manufacturer:	1 Wabash 2 Memorex 3 Burroughs 4 IBM 5 Scotch (3M) 6 Tri 7 Graham Magnetics 8 ... 9 Other
Purchase Date:	YYMM
Date Physical Status Changed:	YYMM
Type of Change:	0 New Tape. 1 Written On. 2 Cleaned (Cleans dirt from tape -- does not destroy information recorded on the tape). 3 Cleaned and Tested (Cleans any dirt from tape -- testing or recertification destroys information on the tape) 4 Degaussed (Demagnetizes the tape. Once date has been written onto a tape, that tape should be degaussed before using for archival storage).
Date of Precision Rewind:	YYMM Leave blank if new tape. Typically will be the date the tape was last mounted and rewound on the tape drive. May be the date created, cleaned, tested, degaussed, or used.
Reel Sequence:	For multi-reel files. Indicates how many sequentially associated reels comprise a data file. A single reel file should be indicated by 01/01 (first of one), and multi-reel files by entries such as: 01/05, 01/08, 02/08, etc.
Number of Files:	For multi-file reels. Indicate the number of files on this reel of tape. (Use left leading zeroes; i.e. 001, 002, 010, etc.).
File Sequence:	Indicate the sequence of this file on the tape (01/03, 02/03, 03/03, etc.) and describe below.
Series Number:	Indicate SHSW series number, if assigned. If the series includes more than one machine-readable data file, indicate the file sequence in the series number as follows: (series #.001, series #.005, etc.).

Accession Number:	Indicate SHSW accession number for unprocessed files.
File Name:	Give brief series title to identify contents of file.
Date Set Name:	Indicate the Data Set Name (DSN) typically found on the Header Label (internal label) and required to access the file. (For tapes stored at ADP, typically U.ARC.xxxxxxxxxxxxxxxx.)
Date Generated:	YYMM
Access:	Indicate Restrictions on Access to the File: R Restricted P Public Use

Document Id: 1280H
Document Name: Tape Management Log

APPENDIX D

Sample User's Guide for a Machine-Readable Record Series

Note: This appendix is included as an example. Portions of the codebook and the appendices to the user's guide were not reproduced because they are self-explanatory. The dump of the first 10 records which appears at the end of this user's guide is hypothetical data. An actual dump is not not included in this appendix because the series is restricted.

Archives Division

STATE HISTORICAL SOCIETY OF WISCONSIN

Department of Revenue
Division of State and Local Finance
Bureau of Property Tax

User's Guide for the

SALES ANALYSIS SYSTEM MASTER

FILE, 1975 - [machine-readable

data files]. Restricted.

Series
Number
1559

RESTRICTION:

The State Historical Society of Wisconsin shall, according to ss. 16.61(13)(b), Wisconsin Statutes, observe the privileged information requirement of s. 77.23, Wisconsin Statutes.

Requests for access to this file should be directed to the original custodian, the Director of the Bureau of Property Tax.

Researchers must obtain formal approval from the original custodian before the State Historical Society will allow access to this file.

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ABSTRACT

SERIES NUMBER: 1559

AGENCY: Department of Revenue
DIVISION: Division of State and Local Finance
SUBDIVISION: Bureau of Property Tax

SERIES TITLE: SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files].

SUMMARY OF CONTENTS: Numeric data files containing data on approximately 100,000 parcels of real property sold each year in Wisconsin. Each parcel is identified by administrative area, county, and municipality, sales number, and parcel number. Data on each parcel includes property class, number of units, intended use, sales date, sales price, assessed value of land and improvements, the ratio of assessed value to sales price, and a few other descriptive items. The data are used to calculate the ratio of assessed values to market prices in different areas of Wisconsin.

GEOGRAPHIC COVERAGE: Wisconsin, and thereunder by administrative area, county, and municipality.

UNIT OF ANALYSIS: Parcel.

SORT SEQUENCE: Numeric by administrative area, and thereunder by county, municipal code number, and sales date.

TECHNICAL DESCRIPTION:
FILE STRUCTURE: Rectangular
FILE SIZE: See: "List of Holdings, p. 3"

FINDING AIDS: "User's Guide for the SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files." This descriptive documentation is available from the Archives Division, State Historical Society of Wisconsin.

RELATED RECORDS: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, FIELDED SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files]. Archives Division, State Historical Society of Wisconsin.

RESTRICTIONS ON USE: Access to this file is restricted by s. 77.23, Wisconsin Statutes. Requests for access should be directed to the Director of the Bureau of Property Tax.

SUGGESTED CITATION: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, "Sales Analysis System Master File, 1975-" [machine-readable data files]. Archives Division, State Historical Society of Wisconsin, Series 1559.

Processed by K. Unertl and M. Hedstrom, 1981.
Acc. No. 1981/156.
RDA No. 193/80(1).

Series 1559
SALES ANALYSIS SYSTEM (SAS) MASTER FILE, 1975 - [machine readable data files]. Restricted.

DEPARTMENT OF REVENUE
Division of State and Local Finance
Bureau of Property Tax

History: Beginning on October 1, 1969, Chapter 77, Subsection II of the Wisconsin Statutes imposes a transfer fee on the grantor of every real estate conveyance not exempted by ss. 77.25 or 77.26. The Bureau of Property Tax collects and compiles data from the Real Estate Transfer Fee Return (Form PE-500) for selected conveyances to generate the Sales Analysis System (SAS) Master File annually. The Bureau uses the data to establish the ratio of assessed to market value of real estate in various geographic areas throughout Wisconsin. The data are also used for analyses of trends of real estate prices.

Scope and Content: The file contains only recorded transactions considered to be of ordinary market value and not exempted by ss. 77.25, Wisconsin Statutes. Transfers involving any element of compulsion are excluded from the SAS master file, such as those involving duress, between related parties, to non-profit institutions, of convenience, and of doubtful titles. Transfers of real estate with split property classifications are also excluded. (For details on the selection criteria, see pages 16-20 of this user's guide.)

The file contains data on approximately 100,000 real estate transactions per year. Each parcel is identified by the administrative area, county, and assessment district (if applicable) where it is located, the type of tax district, sales number, and local parcel or tax key number. Data on each parcel includes the property classification, number of units, intended use, sales date, sales price, assessed value of the land, improvements and total, and the ratio of the assessed value to the sales price. The file also identifies parcels with water frontage and parcels of land without improvements. Some administrative data such as the entry date and office reject code are also included.

Additional Documentation: For additional information on the definitions, coverage, and administrative procedures associated with assessment of real property and the real estate transfer fee see Chapter 77, Subsection II, Wisconsin Statutes and Wisconsin Department of Revenue, State-Local Finance Division, Bureau of Property Tax. Property Assessment Manual for Wisconsin Assessors, Vol. I, 1970-1977.

LIST OF HOLDINGS

1969

1970

1971

1972

1973

1974

1975 1 data file (76,180 logical records)

1976 1 data file (105,208 logical records)

Archivist's Processing Notes

Re: SAS Master File, 1975, 1976.

These data were converted from IBM packed decimal to EBCDIC by the archives staff. Several logical records were compared to the record layout and coding scheme. The information in the file seemed to be consistent with the documentation.

There are two meaningless characters at the end of each block.

RECORD LAYOUT

Columns	Width	Variable Name and Description
1-2	2	Administrative Area Code (See Codebook)
3-4	2	County Code (See Codebook)
5-7	3	Tax District Code This variable identifies the municipality in which each parcel is located: (See Codebook)
8-9	2	Assessment District (See Appendix A)
10-14	5	Sales Number Assigned sequentially by each Department of Revenue district office.
15-27	13	Parcel Number First 13 "valid" characters of the local parcel number or tax key number. Dashes, dots, etc. should not appear. This item can be blank.
28-30	3	Quarter Section This item is always coded 000.
31-32	2	Property Class This entry must contain the appropriate property class, coded as follows: 01 -- Residential 02 -- Mercantile 03 -- Manufacturing 04 -- Agricultural 05 -- Swamp and Waste 06 -- Forest (See pp. 14-15 of this User's Guide for definitions)
33	1	Water Frontage (WF) 1 -- Has Water Frontage 2 -- Does not have Water Frontage
34	1	Kind of Property (VAC/IMP) 1 -- Land Only 2 -- Land and Improvements

Record Layout (continued)

Columns	Width	Variable Name and Description
35	1	Number of Units 0 -- Blank 1 -- 1 Household 2 -- 2 - 7 Units 3 -- 8 or More Units
36	1	Intended Use 1 -- Residential 2 -- Commercial 3 -- Industrial 4 -- Agricultural 5 -- Recreational 6 -- Other
37-40	4	Sales Date MMYY
41-49	9	Sales Price In dollars (no cents)
50-58	9	Assessed Value of Land In dollars (no cents)
59-67	9	Assessed Value of Improvements In dollars (no cents)
68-76	9	Total Assessed Value Assessed value of land and improvements. In dollars (no cents)
77-83	7	Ratio of Assessed to Sales Value Ratio of the total assessed value to the sales price. (Rounded to five decimal digits)
84-89	6	Entry Date Date the record was entered into the SAS system. MMDDYY
90	1	Office Code
91-100	10	Blank

Note: All variables are numeric data except the Parcel Number (Columns 15-27) which can contain alphanumeric characters.

WISCONSIN REAL ESTATE TRANSFER RETURN

Wisconsin Department of Revenue

Name, Address and Social Security Number of Grantor	Name, Full Address and Social Security Number of Grantee
Is grantor related to grantee? (Blood or Marriage) ☐ Yes ☐ No	
Name and Address to which tax bills should be sent	

PART I - PROPERTY TRANSFERRED

County of:	Check proper box and enter name of municipality ☐ City ☐ Village OF:_____ ☐ Town	Street address of property transferred

Legal Description (Fill in legal description in space below or attach 2 copies of full legal description from instrument of conveyance)

Lot No._____ Block No._____ Plat Name_____

Town_____ Range_____ Section_____ Property Parcel Number_____

or metes and bounds description:

PART II - PHYSICAL DESCRIPTION AND INTENDED USE

1. Kind of Property
   - a. ☐ Land Only
     - ☐ New Construction
     - ☐ Building Previously Used
   - b. ☐ Residential Units, if any
     - ☐ One Family
     - ☐ 2 thru 7 Units
     - ☐ 8 or more Units
2. Principal Intended Use
   - a. ☐ Residential
   - b. ☐ Commercial
   - c. ☐ Industrial
   - d. ☐ Agricultural
   - e. ☐ Recreational
   - f. ☐ Other (Explain) _____
3. Land Area and Type
   - a. Lot Size - Estimated ☐ _____ X _____
   - b. _____ Total Acres - Estimated
     - 1. _____ Tillable Acres
     - 2. _____ W.T.L. Acres
     - 3. _____ F.C. Acres
   - c. _____ Feet of Water Frontage Estimated ☐

PART III - TRANSFER

1. ☐ Sale 2. ☐ Gift 3. ☐ Exchange 4. ☐ Deed in satisfaction of L.C. dated _____ 5. Other *Explain Here*

PART IV - COMPUTATION OF FEE

1. Total value of REAL ESTATE transferred (purchase price, etc.) ..... $ _____
2. Ownership interest transferred ☐ Full ☐ Other (Explain)_____
3. Fee ..... $ _____
4. In your opinion, was this sale or transfer made at fair market value? ☐ Yes ☐ No ☐ No opinion (If no or no opinion, Explain Here)

I (We) declare under penalty of law, that this return (including any accompanying schedule) has been examined by me (us) and to the best of my (our) knowledge and belief it is true, correct and complete.

Sign Here → Signature of Grantee or Agent _____ Date _____

LEAVE THIS AREA BLANK

Document No.	Vol. (Reel)	Page (Image)	Date Recorded	Date and Kind of Conveyance

Parcel Number						19__	19__	County Code		District Code	
A	B	C	D	E	F	L__ I__ T	L__ I__ T	1 Office	2 Field	3 Use	4 Reject
								Ratio		Consideration	

PE-500 (6 78)

School District# _____

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INSTRUCTIONS

Upon completion, submit all parts of this form intact to the Register of Deeds with the instrument of conveyance and the fee payable, if any.

GRANTOR: Usually the former owner of the property. (Seller if property transferred by sale.)

GRANTEE: The new owner of the property (the purchaser when property transferred by sale).

Indicate whether or not grantor and grantee are related by blood or marriage.

Enter the name and address to which tax bills are to be sent.

PART I - PROPERTY TRANSFERRED Enter the name of the county and the municipality in which the transferred property is located and check whether it is a city, village, or town. Enter the street address of the property transferred. If rural property, give the fire number if known.

The legal description is the legally accepted statement which identifies the location and boundaries of this property and can be found on the instrument of conveyance (deed, etc.) Enter the full legal description or attach two copies of the legal description as it appears on the instrument of conveyance to the front of this form. Also enter the town, range and section in which property is located. Enter the property parcel number opposite the space provided. The number can most readily be obtained from the property tax bill at the time taxes are ascertained for proration purposes.

PART II - PHYSICAL DESCRIPTION AND INTENDED USE OF PROPERTY

Item 1a: Check only one box.
Item 1b: Check only one box. (If "Land Only" is checked in 1.a. omit this item.)
Item 2: Check only one box which best describes intended use.
Item 3a: Enter lot size. If unknown, enter estimated size and check box.
Item 3b: Enter total acres. If unknown, enter estimated total acreage and check box.
Item 3b1: Enter number of tillable acres, if any.
Item 3b2: Enter number of acres under woodland tax contract, if none, enter "none."
Item 3b3: Enter number of acres under forest crop contract, if none, enter "none."
Item 3c: Enter number of feet of water frontage. If unknown, enter estimated footage and check box. If none, enter "none".

Note: Owners of forest crop land are required by law to notify the Department of Natural Resources of transfer of ownership.

PART III - TRANSFER Check the appropriate box to show how the property was acquired, i.e., by Sale, Gift, or Exchange. If Other is checked, please explain in space provided.

PART IV - COMPUTATION OF FEE On Line 1 enter the full actual consideration paid or to be paid for Real Estate including the amount of any lien or liens thereon. DO NOT include consideration for personal property such as household furniture, farm machinery, boats, etc. In case of a Gift, nominal consideration or Exchange of property, enter the estimated current fair market value (the price which could ordinarily be obtained for the property at a sale in an open market between a willing buyer and willing seller).

On Line 2 show the extent of the ownership interest acquired by this transfer. If Full, check box; if other than Full, check box for Other and identify fractional interest.

On Line 3 enter the amount of the fee which is based upon a rate of 10¢ per $100 on Line 1 or fraction thereof.

If Line 1 does not end in even hundreds (i.e. $11,520), round to next even hundred (i.e., $11,600) and move the decimal three places to the left (i.e., correct fee in example is $11.600).

Note: If this is an original land contract, no fee is imposed; therefore, on Line 3 enter the words "Original L.C."

Line 4 is self explanatory.

SECTION 77.25 - EXEMPTIONS FROM FEE The fees imposed by this subchapter do not apply to a conveyance:

(1) Prior to the effective date of this subchapter (October 1, 1969).
(2) To the United States or to this state or any instrumentality, agency or, subdivision of either.
(3) Which, executed for nominal, inadequate, or no consideration, confirms, corrects or reforms a conveyance previously recorded.
(4) On sale for delinquent taxes or assessments.
(5) On partition.
(6) Pursuant to mergers of corporations.
(7) By a subsidiary corporation to its parent for no consideration, nominal consideration or in sole consideration of cancellation, surrender or transfer of capital stock between parent and subsidiary corporation.
(8) Between husband and wife or parent and child for nominal or no consideration.
(9) Between agent and principal or trustee and beneficiary without actual consideration.
(10) Solely in order to provide or release security for a debt or obligation except as required by S.77.22 (2) (b).
(11) By will, descent or survivorship.
(12) Pursuant to or in lieu of condemnation.
(13) Of real estate having a value of $100 or less.

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ADMINISTRATIVE AREAS, 1975, 1976 (Columns 1-2)

Wisconsin counties were divided into five administrative areas by the Department of Revenue, as follows:*

Administrative Area 75	Administrative Area 77	Administrative Area 79 (cont.)
Brown	Kenosha	Sawyer
Calumet	Milwaukee	Taylor
Door	Ozaukee	Trempealeau
Fond du Lac	Racine	Vernon
Green Lake	Walworth	Washburn
Kewaunee	Washington	
Manitowoc	Waukesha	
Marathon		
Marquette	**Administrative Area 79**	
Menominee		
Oconto		
Outagamie	Ashland	
Shawano	Barron	
Sheboygan	Bayfield	
Waupaca	Buffalo	
Waushara	Burnett	
Winnebago	Chippewa	
	Clark	
Administrative Area 76	Crawford	**Administrative Area 80**
	Douglas	
	Dunn	
Columbia	Eau Claire	Adams
Dane	Iron	Florence
Dodge	Jackson	Forest
Grant	La Crosse	Juneau
Green	Monroe	Langlade
Iowa	Pepin	Lincoln
Jefferson	Pierce	Marathon
Lafayette	Polk	Oneida
Richland	Price	Portage
Rock	Rusk	Vilas
Sauk	St. Croix	Wood

*Administrative Area 78 did not exist until 1978.

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COUNTY CODE (Columns 3-4)

01	Adams	37	Marathon
02	Ashland	38	Marinette
03	Barron	39	Marquette
04	Bayfield	40	Milwaukee
05	Brown	41	Monroe
06	Buffalo	42	Oconto
07	Burnette	43	Oneida
08	Calumet	44	Outagamie
09	Chippewa	45	Ozaukee
10	Clark	46	Pepin
11	Columbia	47	Pierce
12	Crawford	48	Polk
13	Dane	49	Portage
14	Dodge	50	Price
15	Door	51	Racine
16	Douglas	52	Richland
17	Dunn	53	Rock
18	Eau Claire	54	Rusk
19	Florence	55	Saint Croix
20	Fond du Lac	56	Sauk
21	Forest	57	Sawyer
22	Grant	58	Shawano
23	Green	59	Sheboygan
24	Green Lake	60	Taylor
25	Iowa	61	Trempealeau
26	Iron	62	Vernon
27	Jackson	63	Vilas
28	Jefferson	64	Walworth
29	Juneau	65	Washburn
30	Kenosha	66	Washington
31	Kewaunee	67	Waukesha
32	La Crosse	68	Waupaca
33	Lafayette	69	Waushara
34	Langlade	70	Winnebago
35	Lincoln	71	Wood
36	Manitowoc	72	Menominee

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Sales Analysis System (SAS) Master File, 1975 (First 10 Logical Records):

```
76250020000947BL13842      0000122110175000060000000004600000034600000039200006533312107 50
76250020000950BL660AL661   0000122110175000060000000004600000034600000039200006533312107 50
76250020000951BL1963       0000122110175000060000000004600000034600000039200006533312107 50
76250020000952BL173        0000122110175000060000000004600000034600000039200006533312107 50
76250020000953BL1943J38    0000122110175000060000000004600000034600000039200006533312107 50
76250020000954BL1943J75    0000122110175000060000000004600000034600000039200006533312107 50
76250020000956BL361Y18     0000122110175000060000000004600000034600000039200006533312107 50
76250020000958BL11111      0000122110175000060000000004600000034600000039200006533312107 50
76250020000959BL1582L47    0000122110175000060000000004600000034600000039200006533312107 50
76250020000963BL1173       0000122110175000060000000004600000034600000039200006533312107 50
```

APPENDICES

A. General Records Schedule for Machine-Readable Processing Files

B. Revised Scheduling Policy and Sample Records Disposal Authorizations

C. Procedures Manual for Machine-Readable Records

D. Sample User's Guide for a Machine-Readable Records Series

APPENDIX A

General Records Schedule for Machine-Readable Processing Files

Records Disposition Authorization
Form PRB-1

The State of Wisconsin

Disposition Number: _____

PUBLIC RECORDS BOARD

Agency: Machine Readable Processing Files--General Schedule	Archival Approval
Division	
Subdivision	Archivist / Date
I hereby request disposition of these records as indicated below.	REMARKS
Head of Agency or Designated Representative / Date	Executive Secretary Signature
SUBMIT ORIGINAL AND FOUR COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.	Date

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period.

This general schedule covers computer generated "processing files" on machine readable media including, but not limited to, punched cards, magnetic tape, discs, drums, cassettes and diskettes. Processing files are relatively temporary files uses to create, correct, reorganize, update or derive output from master data files. Processing files are distinguished from master data files which are relatively permanent machine readable files containing an organized, consistent set of records of complete and accurate information.

The purpose of this schedule is to allow the orderly destruction of machine readable processing files without prior approval of the Public Records Board as required by ss. 16.61(4), 1979 Wis. Stats. The schedule allows agencies to use discretion in determining retention periods for machine readable processing files. However, master data files are not covered by this general schedule. Agencies are required to submit to the State Public Records Board, Form PRB-1, Records Disposal Authorization (RDA) for master data files, before master files can be disposed of.

Because the machine readable media on which many processing files are written are erasable and reusable, the recommendations DISPOSE OF and DESTROY refer only to the contents of the files and not the recording medium. Whenever possible, the medium on which processing files are written should be erased and reused within the guidelines of this general schedule. Timely scheduling of processing files can increase the availablility of space on machine readable media and reduce agency expenditure for stocks of recording media.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES

This schedule is permissive and recommends minimum periods for retention. There is no obligation to dispose of a file when the recommeded retention period expires. The file may be retained as long as desired, but it may not be disposed of sooner than the time specified.

This general schedule has two sections. Section A covers processing files used to create master files that are not updated. These include processing files for one-time studies and surveys: weekly, monthly, annual and other periodic reports where a new master file is created for each subsequent report; and all other non-updated files. They are the products of a process where data are entered into a computer and subjected to procedures such as validation, verification, editing, sorting, etc., in order to create a final master file that is not superseded by a revised file. Section B covers processing files used to create master files that are subsequently updated. Processing files from updated systems are those files associated with systems where data processing procedures are used to delete non-current data and/or add current data to existing master files.

A. Machine Readable Processing Files from Non-updated Sytstems.

1. **Test data [machine readable data files].**

Machine readable files used in testing a system such as routine or benchmark data sets used solely for the purpose of testing.

Retention: Dispose of when no longer needed

2. **Source Data [machine readable data files].**

Raw data abstracted from source documents and used as input for the master file of a one-time study, survey, experiment, etc.

Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
3.	**Intermediate Data Files [machine readable data files].** Machine readable data files containing output from within one run or from one run to a subsequent run that manipulates, sorts and/or moves data through the system, such as edit, correction, reject, suspense, unmatched data, rerun files, etc. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.
4.	**Other Processing Files [maching readable data files].** All other temporary files which contain raw input data for a master file; partially processed data; summaries, aggregations and extracts from a master file; duplicate files no longer needed to back-up a master file; and related temporary files. Retention: Dispose of when no longer needed, provided the files are superseded by a master file which is backed-up.
B.	Machine Readable Processing Files from Updated Systems
5.	**Test Data Files [machine readable data files].** Machine readable files used in testing a system such as routine or benchmark data sets used solely for the purpose of testing. Retention: Dispose of when no longer needed.
6.	**Source Data Files [machine readable data files].** Raw data abstracted from source documents and used as input for the master file of an updatable system. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated from existing source documents or related machine readable files.

Records Disposal Authorization

FORM CPR-1A

DISPOSAL NUMBER _____

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
7.	**Intermediate Data Files [machine readable data files].** Machine readable data files containing output from within one run or form one run to a subsequent run that manipulates, sorts and/or moves data through the system, such as edit, correction, reject, suspense, unmatched data, rerun files, etc. and used to create a valid transaction file (see 8, below) or a master data file. Retention: Dispose of when superseded by related magnetic medium provided the data can be recreated form existing source documents or related machine readable files.
8.	**Valid Transation Files [machine readable data file].** Machine readable data file containing data used with an input master file to create an updated master file. A valid transaction file is output from an edit program which used source data files as input. Retention: Dispose of when no longer needed to update a master file or as back-up to the current generation master file, usually after the third update cycle.
9.	**Non-Current, updated master data file [machine readable data file].** Machine readable data file that has been superseded by a current master file and/or a master history file. Retention: Dispose of when no longer needed as back-up to the current generation master file, usually after the third update cycle.
10.	**Other Processing Files [machine readable data files].** All other temporary files which contain raw input data for a master file; partially processed data; summaries, aggregations, and extracts from a master file; duplicate files no longer needed to back-up a master file; and related temporary files. Retention: Dispose of when no longer needed, provided the files are superseded by a master file which is back-up.

APPENDIX B

Revised Scheduling Policy and Sample Records Disposal Authorizations

Date: June 20, 1983 File Ref:

To: Records and Forms Council

From: Machine Readable Records Committee

Subject: Revised Record Scheduling Policy

PURPOSE

This policy is provided to promote records scheduling. This policy should be applied when new systems are developed, existing systems are changed or a specific record series is reviewed.

Information is stored in many different ways. These storage methods include: paper, microfilm, computer output microfilm (COM), computer or word processing tapes, discs, diskettes, cassette tapes, video cassettes, etc.

With advancing technology, scheduling of all records is necessary regardless of how the information is stored. (Note: Schedule the record, including the storage method.)

POLICY

Schedule the record, including all applicable storage methods, through the current Records Disposition Authorization (RDA) procedures.

Combine all storage methods on the same RDA. Identify all storage methods (i.e., paper, tapes, etc.) for inputs and outputs used in the entire record series. Each storage method may have a different record retention recommendation.

RDA FORMAT

Use the Record Disposition Authorization (Form CPR-1) to schedule all records.

The RDA format should include:

-Agency identification;
-Record information including:
-Title
-Description
-Annual accumulation
-Arrangement
-Storage method
-Retention recommendation (may be different for each storage method).

Each agency may vary in its approach to scheduling records. Attached are three different samples of RDA's that cover records with more than one storage method on the same RDA.

JE:ST:DP11:21
Attachment

AD-75

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Records Disposal Authorization
Form PRB-1

The State of Wisconsin

Disposal Number 151/7

PUBLIC RECORDS BOARD

Agency
Industry, Labor and Human Relations 445

Division
Job Service 620

Subdivision
Unemployment Compensation U.C.

I certify that the records described in this request are not of sufficient administrative value to warrant their further preservation and request that authority for their disposal be granted.

Head of Agency or Designated Representative: James E. Halvorson
Date: 6/30/77

SUBMIT ORIGINAL AND THREE COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.

Archival Approval

Archivist: F. G. Hall
Date: 10-21-77

REMARKS

Executive Secretary Signature: R M Johnson
Date: OCT 20 1977

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, form numbers, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period. (See records disposal procedures in Administrative Practices Manual)
1.	Benefits Claims (Form UC-17), 1975 Weekly benefit claim forms for continued unemployment compensation claims under Section 108.09(1) of the Wisconsin Statutes. This disposal authorization supersedes RDA 13/76-01. Volume: 300 cubic feet Arrangement: In order of processing Recommendation: Retain claim forms six (6) weeks after microfilm copy has been prepared and delivered to the Job Service Division, then destroy. (The microfilm copy prepared in accordance with Section 16.80 of the Wisconsin State Statues and Chapter PR-1 of the Administrative code). Retain microfilm copy for three (3) years after last activity and destroy.

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Records Disposal Authorization
(CPR-1)

The State of Wisconsin

Disposal Number 062/83

APR 8 1983 PUBLIC RECORDS BOARD

Agency: Revenue (566)

Division: State and Local Finance (350)

Subdivision: Property Tax

I certify that the records described in this request are not of sufficient administrative value to warrant their further preservation and request that authority for their disposal be granted.

Head of Agency or Designated Representative: Sylvan Leabman (350) Date: 4/7/83

SUBMIT ORIGINAL AND THREE COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.

Final Approval: Please note the restrictions on record destruction contained in s. 19.35(5), Wis. Stats. (Open Records Law).

Archivist: F. G. Hum Date: 5-11-83

REMARKS:

Executive Secretary Signature: Mary Ann Woodke Date: 5/11/83

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, form numbers, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period. (See records disposal procedures in Administrative Practices Manual)
01	Title: State Assessment of Manufacturing (SAM) Source Documents. 1974 -

Use & Subjects Covered: This record series consists of the M-forms, CAMPAS valuation data, valuation change record, and file maintenance forms used by the Department of Revenue to perform an annual assessment of manufacturing real and personal property as required by Sec. 70.995 of the Wis. Stats.

Annual Accumulation: 30 cu. ft.

Arrangement: Parcel number within municipality, county and administrative area.

Recommendation:

File maintenance forms - destroy after determining that changes have been recorded on the master data file.

CAMPAS Valuation Data - retain most current data in parcel file. Destroy all previous CAMPAS valuation data.

M-Forms - retain 6 years in the active parcel file and destroy.

Valuation Change Record (PA-531's) - retain 10 years and destroy.

(This authorization supercedes #139/81/002.)

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Records Disposal Authorization

Form PRB-1A

APR 8 1983

DISPOSAL NUMBER 062/83

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
02	Title: State Assessment of Manufacturing (SAM) File Maintenance. 1974 - Use & Subjects Covered: This record series consists of the computer print-outs of file maintenance changes to the SAM master file. The maintenance includes changes to name, address, legal description, computer numbers, school codes, etc. Annual Accumulation: 3 cu. ft. Arrangement: Chronological by computer number within administrative area, county and municipality. Recommendation: Destroy after determining that changes have been recorded on the master data file. (This supercedes RDA #139/81/009.)
03	Title: State Assessment of Manufacturing (SAM) Output Reports. 1974 - Use & Subjects Covered: This record series consists of the hard copy output produced by the SAM master file. It includes but is not limited to school change reports, reason code reports, etc. The following records are covered under separate authorizations: Alpha Logs, RDA # 42/82/001; Full Value Rolls, RDA # 139/81/001; Equated Value Rolls, RDA # 139/81/003. Annual Accumulation: 4 cu. ft. Arrangement: Varies. Recommendation. Retain until the administrative use has passed and destroy.
04	Title: State Assessment of Manufacturing (SAM) Output, Microforms. 1974 - Use & Subjects Covered: This record series consists of the microforms of output produced by the State Assessment of Manufacturing (SAM) master file. Annual Accumulation: Minimal. Arrangement: Varies. Recommendation: Transfer silver master negative microfiche to the State Historical Society immediately after preparation and verification for preservation with the authority to weed. Retain Department of Revenue microfiche until the administrative use has passed and destroy.

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Disposal Authorization

PRB-1A

APR 8 1983

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DISPOSAL NUMBER 062/83

DESCRIPTION OF RECORD SERIES

Title: State Assessment of Manufacturing Property (SAM) Master File. 1974 -

Use & Subjects Covered: This series is the machine readable SAM master file which contains assessment data and relevant information used by the Department of Revenue to perform an annual assessment of manufacturing real and personal property as mandated by Sec. 70.995 of the Wis. Stats. There are three individual masters in this program prior to 1984; PA-531 Master, Real Master and Personal Master. Effective in 1984, this program will be changed to an IMS Data Base.

The PA-531 Master File contains the computer number, school code, reason code change, number of acres, land and improvement value, name and address of manufacturer, and beginning and ending values resulting from changes.

The Personal Master File contains the computer number, name and address of manufacturer, tax code (school district #), business code (SIC code), and aggregate ratio of all classes of property within that municipality.

The Real Master File contains the computer number, legal description, name and address of manufacturer, school district #, business (SIC) code, local parcel number and location (Sec., Town, Range), County Register of Deeds parcel recording information, aggregate ratio of all classes of property within that municipality, and number of acres and value of the land is given for each type of land (general, public, forest and exempt). An improvement value is given for the general land category.

The computer generated "processing files" of this master file are covered under the general schedule RDA #187/81.

Unit of Analysis: Parcel.

Arrangement/Sort Sequence: Administrative Area, County, Municipality, Computer Number Order.

Source Documents: M-Forms, CAMPAS valuation data, valuation change record (PA-531) and file maintenance forms.

Recommendation: Freeze the master file annually when the data is passed to Equalization's STRAT system (approx. August 10) and copy the master and forward it annually to the State Historical Society along with the program documentation.

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PUBLIC RECORDS BOARD

Disposition Number _____

Agency Department of Public Instruction	Archivist Approval
Division Management and Budget	
Subdivision Information Services	Archivist / Date
I hereby request disposition of these records as indicated below.	REMARKS
Head of Agency or Designated Representative / Date Herbert Grover	Executive Secretary Signature
SUBMIT ORIGINAL AND FOUR COPIES TO THE PUBLIC RECORDS BOARD WITH SAMPLE OF EACH ITEM LISTED.	Date

EXAMPLE

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES: Give title, earliest date, use, subjects covered, statutes or rules relating to the filing of the record, file arrangement, volume or annual accumulation, and recommended retention period.
1.	Public School Enrollment File, c. 1962 The file contains data on the number of boys and girls enrolled in each public school on the third Friday of September, by grade level, the school code, district name and code, CESA and school year. These data are required by Section 115.30(3), Wisconsin Statutes, which require local school districts to report the number of children enrolled in elementary and high school grades. a. Medium: Paper Document (PI-1204 and PI-1205 or their equivalent) Annual Accumulation: ~~Annual~~ 1 Cubic foot Arrangement: Alphabetical by school district/school. Recommendation: Retain paper document for one (1) year after microfilming has been completed and microfilm copies received by division, then destroy. b. Medium: Microfilm Annual Accumulation: .5 cubic feet Arrangement: Alphabetical by school district/school. (Microfilm prepared in accordance with 16.80 of the Wisconsin Statutes.) Location: Silver negative properly stored for permanent use. Roll film used exclusively in the work area. Recommendation: Retain for 10 years and destroy.

RECORD SERIES NUMBER	DESCRIPTION OF RECORD SERIES
1.	c. Medium: Machine-readable data files. Annual Accumulation: 300 cubic feet Arrangement: District/School sequence. Recommendation: After one year transfer a copy of machine-readable data files to the State Historical Society for preservation. (This agency recommends that all requests for information contained in these files be referred to the Department of Public Instruction to ensure proper interpretation.)

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APPENDIX C

Procedures Manual for Machine-Readable Records

STATE HISTORICAL SOCIETY OF WISCONSIN

ARCHIVES DIVISION

PROCEDURES MANUAL FOR MACHINE READABLE RECORDS

June 1983

INTRODUCTION

The purpose of this manual is to outline current policies and procedures for scheduling, appraisal, transfer, processing, description, storage, and maintenance of machine-readable. It is intended as a reference manual for members of the archives' staff who handle machine-readable records. Many of the procedures are subject to change and will require revision as information technology changes and as programs to preserve machine-readable records evolve.

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1.0 Scheduling:

The drafting of retention schedules for machine-readable records is primarily the responsibility of the original custodian of the records. The archivist should encourage records managers and the legal custodians to include machine-readable records in RDA's through the development of comprehensive records schedules which cover the input documents, machine-readable records, and output reports regardless of their format or storage media. The Records and Forms Management Council "Revised Record Scheduling Policy" of June 20, 1983 outlines the basic principles for drafting comprehensive schedules. Special attention should be paid to machine-readable records when new systems are developed, existing systems are revised, or a particular records series is reviewed.

1.1 Drafting RDA's:

The contents and format of RDA's should conform to policies adopted by the Records and Forms Management Council and approved by the Public Records and Forms Board.

The archivist should assist the original custodian in distinguishing master data files from processing files which are covered by the general schedule for machine-readable processing files (RDA #187/81). The archivist should assist records custodians in identifying machine-readable master files which should be transferred to the archives for long-term preservation. Source documents, output reports, and documentation should be scheduled along with the machine-readable data files.

1.2 Retention Periods:

Machine-readable which merit long-term preservation should be transferred to the archives as soon as possible after file processing is completed. If the original custodian mandates a relatively long retention period (i.e. five years or more), the archives should make a copy of the data file for preservation purposes.

2.0 Appraisal:

Appraisal principles and procedures for machine-readable records are based on the existing standards for textual records. The informational content of the file is the primary concern. Whenever possible, machine-readable records should be evaluated in conjunction with related textual records such as the input documents and output reports.

Often alternative versions of machine-readable records exist in hard copy. In such cases, determining the most desirable format(s) and storage media for long-term retention are essential aspects of appraisal. Such evaluations should consider the liklihood that the micro-level data file will be used for statistical analysis or that researchers will request summary statistics or access to a single case. The amount of processing required to prepare the machine-readable and hard copy versions, the amount of storage space required for each version, and the relative costs of preservation should be taken into account.

In some cases, machine-readable records which do not merit long-term retention by the archives can be used to create valuable by-products. Machine-readable records might be used to generate COM output as an alternative to retention of paper files, to develop sampling frames for selecting samples of related paper files, or to generate indexes to related hard copy records.

The appraisal checklist in Section 2.1 lists some of the common intellectual and practical considerations for evaluating machine-readable records. The checklist should be used as a guide to assist the machine-readable records archivist in making appraisal recommendations. Often it is necessary to write a narrative appraisal report stating the rationale for the appraisal recommendation. Usually, the descpritions of machine-readable records on RDA's do not provide enough information to permit the archivist to make an appraisal recommendation or draft an appraisal report. The appraisal checklist should assist the archivist in gathering relevant information from the original custodian to make a recommendation.

2.1 Appraisal Checklist for Machine-Readable Records:

Intellectual Considerations:

Does the data file have:
- legal value? Yes___ No___ Maybe___
- evidential value? Yes___ No___ Maybe___
- informational value? Yes___ No___ Maybe___

Does the data file have:
- immediate research value? Yes___ No___ Maybe___
- long-term research value? Yes___ No___ Maybe___

Does the data file contain original micro-level data? Yes___ No___

Is the file likely to be used for:
- statistical analysis? Yes___ No___ Maybe___
- retrieval of single cases? Yes___ No___ Maybe___

Is the data file: A one time study?___ Ongoing?___

Is the data file in danger of deterioration or destruction in its present location? Yes___ No___ Maybe___

Do similar records exist elsewhere? Yes___ No___
- Are they: Hard Copy___ Microforms___
- Covered by an RDA? Yes___ No___
  RDA #_____

Do related records contain information not included in the data file? Yes___ No___

Does the data file contain information not included in related records? Yes___ No___

Are related records more desirable
- re: the cost of preservation? Yes___ No___
- re: arrangement? Yes___ No___

Will the other records be preserved? Yes___ No___

Are there restrictions on use:
- of textual records? Yes___ No___
- of machine-readable records? Yes___ No___

Technical Considerations:

Is the data file readable? Yes___ No___

Is the documentation complete? Yes___ No___

Is special software required? Yes___ No___

Approximate volume of hard copy records: _____

Approximate number of logical records: _____

Logical records length:

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3.0 Transfer of Machine-Readable Records from Agencies to the Archives:

As a long-term goal of a records management program for machine-readable records, agencies should initiate transfer of machine-readable records to the archives. Data processing and records management procedures should be established to transfer permanent data sets when their retention period by the agencies expires. Retention schedules should be included in data processing procedures and documentation. Until such procedures are established, the archives staff will have to initiate transfer procedures in most cases.

3.1 Methods of Transfer:

There are two methods for transfer of data from the agencies to the archives:

1) The agency loans a copy of the master data file to the archives for copying and transfer to the ADP tape library. The archives staff sends the data file to ADP for copying as soon as possible after it is received. The original version of the data file is returned to the original custodian after it has been copied and the agency is responsible for its disposition. A back-up copy of the data set is made at ADP for storage in the SHSW vault.

2) The archives provides the original custodian with a blank tape and requests the agency to make a copy of the data file on archives-supplied tape. This copy is sent to ADP where a copy is made for the ADP tape library. If possible, the copy of the data set on the archives-supplied tape serves as the back-up copy. The original custodian assumes responsibility for disposition of the original.

Either method is satisfactory because each allows the agency to reuse the storage medium and permits the archives to monitor the quality, age, and maintenance of tapes in archival custody.

3.2 Format:

Whenever possible, data files transferred to the archives should be written in the following format(s):

Mode: EBCDIC or ASCII
Tracks: Nine
Density: 1600 or 6250 bpi
Label: No Label
Parity: Odd or Even

ADP does not process 800 bpi tapes.

3.3 Data File Transfer Form:

The data file transfer form (Form # AR-06-10) should accompany each file transferred to SHSW. The form is completed by the agency staff member who supervises transfer or copying of the file, usually a

data processing staff member. Copies of the record layout, codebook, and source documents should accompany the file when it is transferred, unless they have been collected in advance by the archivist. Whenever possible, agencies should provide a dump of the logical records at the beginning and end of the file.

DATA FILE TRANSFER/MACHINE READABLE RECORDS

State Historical Society
Archives Division

*1) *Complete one form for each file on a tape.*
2) Distribute the copies of this form as denoted below.
3) Blank forms are available from: Archives Division, State Historical Society.

Agency:	Records Disposition Authorization/Schedule Number:
Division:	File Name (Series Title)*:
Transferred by:	System Name:
Phone Number:	Dates or Years of Records:
Transfer Date:	Transfer Approved By:

This file is written on tape number(s) (external label):

This file was computer generated on:	Date file was created:

File is number _____ of _____ files on this reel of tape.

Number of logical records: _____

Length of longest logical record is _____ characters.

Number of blocks: _____

Blocking factor is _____ logical records per block.

Block size is _____ characters.

Number of characters in last block is _____

MODE	TRACK	PARITY	DENSITY	LABEL
☐ BCD ☐ EBCDIC ☐ ASCII ☐ FIELDATA ☐ Other	☐ 7 ☐ 9	☐ Even ☐ Odd	☐ 556 ☐ 800 ☐ 1600 ☐ 6250	☐ None ☐ IBM ☐ ANSI ☐ Other

Comments:

Ply 1 - State Historical Society
Ply 2 - (Yellow) Data Processing/Operations
Ply 3 - (Pink) User/Custodian of Records
Ply 4 - (White) Departmental Records Manager

AR-06-10

4.0 Accessioning Machine-Readable Records:

The accessioner is responsible for assigning accession numbers, completing accession records for each data file transferred to the archives, informing the processing archivist of new accessions, and placing tapes in the appropriate storage area. Unprocessed data files should be passed on to the archivist for immediate processing or stored in the vault if a delay is anticipated prior to processing. Procedures for accessioning textual records should be followed for machine-readable data files.

4.1 Processing Conventional Data Sets:

Normally, data files should be processed as soon as possible after they are transferred to the archives. Immediate processing prevents additional deterioration of the storage medium and permits the processing archivists to locate agency contacts who can supply technical information and assistance with reformatting the file and correcting any gaps in the documentation. If a delay of more than one year is anticipated before the file will be processed, data files which do not reside on new tape should be copied onto new tape. Data on non-conventional storage media, such a punched cards, should be transferred to magnetic tape as soon as they are accessioned. MACC has facilities for transferring data stored on punched cards to tape.

4.2 Transfer of Conventional Data Sets to ADP:

Data sets which conform to the following format generally require only a tape-to-tape copy procedure for transfer to ADP:

Mode:	EBCDIC (ASCII)
Density:	1600 or 6250
Label:	No Label (IBM Label)
Track:	Nine
Parity:	Odd or Even
File Structure:	Rectangular

The processing archivist should complete the ADP Operations - Tape Copy Information Form. This form is self-explanatory, except:

Part B.
Vol=Ser Names: Fill in the external label (reel i.d., tape number) of the input tape.

Part C.
Data Set Name: This is a temporary name for the input file used in processing only. Use any convenient name.
Record Length: For variable length records, indicate the length of the longest record.
Blocking: Indicate the length of the longest block.

Part D.
Ouput Tape Density: The output density for tapes stored at ADP normally is 6250 bpi. ADP may determine the density for tapes stored in their tape library. Output density for back-up copies stored in the SHSW vault should be specified by the processing archivist as 1600 or 6250 bpi.

ADMINISTRATIVE DATA PROCESSING - OPERATIONS

TAPE COPY REQUEST

TO: Administrative Data Processing (Student Technician)
750 University Avenue Room 53

FROM: Requestors Name _____

Dept. _____ Phone # _____

Address _____

_____

Eligibility Guidelines

1) Requestor must be associated with the university system or the state or federal government to be eligible.

2) The requestor must have a MACC or ADP account with a current balance of at least $50.00. Contact ADP Business Office at 1210 Dayton Street to set up or add money to an account.

Account # _____ Balance _____ As of _____

3) The requestor must supply both the input and output tapes. ADP does not sell tapes. If it's necessary to purchase a tape, this can be done at MACC tape library.

4) If there aren't any problems with items 1 - 3, the requestor is eligible to submit tapes for processing and should fill out the required information on this sheet and also fill out a Project Request form which will be forwarded to the ADP Business Office.

Checked by _____ (ADP person)

5) The approximate turnover time for a request will be 5 working days from the time of the request if there aren't any problems.

Approximate Cost

The standard setup charge is $10.00 for first tape or data set and $2.50 for each additional tape or data set plus the machine charges to copy the tape. There is a $2.00 charge for each tape label dump.

If the request requires involvement of the Technical Support staff, there will be an additional charge of $20.00. The requestor will be contacted prior to this.

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ADMINISTRATIVE DATA PROCESSING - OPERATIONS

TAPE COPY INFORMATION

A separate sheet must be filled out for each individual tape to tape copy except for a multivolume data set for which volumes should be listed in sequence on one sheet. A tape with multiple data sets should have each DSN listed in sequence. On labeled tape the external label name must match the internal label names. We do not process 800 BPI tapes. Tapes are assumed to be EBCDIC.

If there are only ASCII tapes involved please note this in the comments below.

A. Input Tape Information: Density is 1600(DEN=3) _ 6250(DEN=4) _

Label Information: Standard OS _ No Labels _ Other: _____

B. Vol=ser Name:(1)_____ (2)_____ (3)_____ (4)_____ (5)_____

C. Input DSN Info: One per tape except on multi data set volumes-list in sequence. Provide the position of the DSN also, i.e., 3rd data set on tape, etc.

	Data Set Name	# of Records	Record Length	Blocking	Record Type		
1)					Fixed	Variable	Undefined
2)					Fixed	Variable	Undefined
3)					Fixed	Variable	Undefined
4)					Fixed	Variable	Undefined
5)					Fixed	Variable	Undefined

D. Output Tape Information: Density Required 1600(DEN=3) _ 6250(DEN=4) _

E. Output Vol Ser: (1)_____ (2)_____ (3)_____ (4)_____ (5)_____

F. Output DSN Info:

	Data Set Name	Record Length	Blocking	Record Type		
1)				Fixed	Variable	Undefined
2)				Fixed	Variable	Undefined
3)				Fixed	Variable	Undefined
4)				Fixed	Variable	Undefined
5)				Fixed	Variable	Undefined

COMMENTS:

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Part E.
Output Vol=Ser: Leave blank for copies stored in the ADP tape library. This is determined by ADP. Specify the external label of SHSW-supplied tapes for back-up copies.

Part F.
Output DSN Info: Follow the Data Set Naming Conventions described in Section 5.0 of this manual.
Records type and block size: ADP determines the record type and block size of the output file for data sets stored in the ADP tape library. A fixed block size not to exceed 32760 characters should be specified for back-up copies stored in the SHSW vault.

4.4 Transfer Procedures and ADP Contacts:

Tapes for transfer to ADP will be picked up by the ADP courier if they are placed on the ADP delivery shelf. Our current user/programmer contact at ADP is Kathy Perez, 263-2562. Input tapes will be returned to the ADP shelf by the courier after they have been copied. Advanced technical question should be referred to Jerry O'Reilly at 263-4805.

4.5 Verification of the data transfer:

The accuracy of data sets transferred to ADP must be verified by comparing dumps of the data with the record layout and the codebooks.

Once the data set has been transferred to ADP, it can be examined on the screen of a WANG terminal or from printed output. Output from the file can be obtained by submitting the JCL from SPOT through a 3270 attachment or by submitting a batch run with the JCL in a Wang document. To examine the data set, submit the following JCL:

JCL for verifying transfer of data sets to ADP. This JCL copies the first 10 or the last 10 logical records from an ADP tape data set to a LOOK file:

```
//Uxxx JOB (,xxx,,100,,1111,),nnnnnnnn.xxx,
//    GROUP=ARC,MSGLEVEL=1,CLASS=Q,TIME=1
//*   Insert user initials (xxx) and user # (nnnnnnnn)
//STEP1    EXEC PGM=SELECT,PARM=' OPTION1,OPTION2,OPTION3,OPTION4
//*    Option3 allows printing or suppression of HEX. (Default is HEX).
//*    Option4 allows a translation or no translation of non-printing.
//*    characters. (Default is a translation).
//*    See the SELECT Manual for options.
//SYSPRINT DD SYSOUT=*
//SYSUT1   DD DSN=U.ARC.Aiiiiiii,DISP=SHR
//*    Insert the DSN (iiiiiii) of the desired data set.
//SYSIN    DD *
 STOPN=10
//*   Select stops processing after the first 10 logical records.

                OR

 STARTN= Number of logical records minus 10
//*   Select starts processing 10 logical records before the EOF.

                OR

 STOPN=10
 ENDGRP
 STARTN= Number of logical records minus 20
//*   SELECT processes the first 10 and last 10 logical records in the
//*   file.
```

Output is routed to a LOOK file. The output includes a record count. The accuracy of the data set can be verified by examining the data on the screen. However, a printout of the dump is a preferable format for verification. The contents of the LOOK file can be routed to the laser printer or to other remote printers. Printed output is delivered to the ADP shelf by the ADP courier, generally on the day following the batch run. At a minimum, the first 10 and the last 10 logical records should be printed for verification purposes. In some cases it may be necessary to print more logical records.

The printouts should be compared with the tape layout, codebooks, and any dumps of the data provided by the original custodian to assure that the data was copied accurately and that the documentation matches the data. Copies of printed output should be retained and included as "dumps" in the documentation. (See Section 6.11).

The SELECT utility can be used for additional data verification such as checking for outlying values, obtaining group counts for specific record types or subsets, or verification of any specific record. The SELECT manual contains details on the SELECT commands. SAS can be used for statistical analyses of the data which may be useful in some cases.

4.6 Creation of Back-up copies:

Each data set stored at ADP should be backed-up with one copy of the file. Back-up copies are stored in the SHSW vault. Back-up copies should conform to the following standards:

Mode:	EBCDIC or ASCII
Density:	1600 or 6250
Label:	No Label
Track:	Nine
Parity:	Even or Odd

The back-up copy is not necessarily an identical copy of the master. In some cases it is desirable to retain two different sort sequences of a data set, one as the master and the second as the back-up. Masters stored at ADP at a density of 6250 bpi can be backed-up with 1600 bpi tapes.

The tape copy created during the transfer process can be used as the back-up copy, provided the copy was written on new tape and the file conforms to the technical specifications listed above. If such a back-up copy is not available, one should be made. ADP will make tape to tape copies. However, the processing archivist should be aware of the technical characteristics of the output tapes. Hardware tape marks and software DCB's (data control blocks) and BCW's (block control words) are written on many ADP tapes by the tape copy utilities. Efforts should be made to create back-up copies which are not dependent on ADP hardware or software.

4.7 Transfer of Non-Conventional Data Sets:

Frequently, data sets provided by the agencies do not conform to the standard format and require additional processing at ADP or at MACC. Typically, such processing will require the assistance of a contract analyst or programmer. Both ADP and MACC have contract analyst services available. Progamming assistance can also be obtained from free-lance programmers. Currently. MACC is compiling a directory of individuals available for free-lance consulting, programming, and related data processing services. Once non-conventional data sets have been reformatted into the standard format, they can be processed like conventional data sets.

5.0 Assigning Series Numbers and Data Set Naming Conventions:

To facilitate retrieval of data sets stored at ADP and to coordinate data sets with their finding aids, the output data set names (DSN) for data files stored at ADP must conform to the following naming conventions:

All data set names begin with the prefix:
U.ARC.

followed by:

Any alphanumeric character or character string (A is preferred for state records; CL is preferred for county and local records),

followed by:

The four-digit numeric SHSW archives series number or the county and local records series number,

followed by:

The sequence number of the data file.
The sequence number refers to the sequence of each data file within a record series. For example, if Series 2052 is an on-going series which includes one data file for each year beginning in 1976, the sequence number for the 1976 file is 001, the sequence number for the 1977 file is 002, etc. The DSN for the 1976 file is:
U.ARC.A2052001
The DSN for the 1977 file is:
U.ARC.A2052002, etc.
Data file for one-time surveys should use 001 as the sequence number.

Data set names specified by the processing archivist should not be changed by ADP unless they consult with the processing archivist. This should be noted in the "Comments" section of Part F of the ADP Tape Copy Information Form.

6.0 Documentation/Finding Aids:

The processing archivist is responsible for compiling documentation which will provide users with the technical information required to access each data set and interpret its contents. Generally, this documentation will be compiled as a finding aid called as user's guide.

6.1 Format for User's Guides

At a minimum, the user's guide must contain the elements listed below and should conform to the format for User's Guides:

6.2 Title Page:

The title page includes:

a) The heading: "Archives Division, State Historical Society of Wisconsin"

b)The name of the Agency, Division, and Subdivision of the Original Custodian

c) The title: "Users Guide for the Series Title, Inclusive Dates

d) The media indicator " # machine readable data file(s) "

e) The series number

f) Indication of Restricted Access: "Restricted" (if applicable)

6.3 Restrictions:

If access is restricted, the second page consists of a note indicating the nature of the restrictions, statutory references, duration of restrictions, and procedures for requesting access.

6.4 Table of Contents

6.5 Abstract:

The abstract should contain information sufficient to provide potential researchers with a summary overview and description of the contents and technical characteristics of each data file and all of the data elements needed to catalog the series according to internal archives' procedures or the MARC format for archives and manuscripts. Generally, one abstract will suffice for each open ended series unless there were substantial revisions to the system at some point. A "List of Holdings" can be used to provide information about each file in an ongoing series. The abstract should include the following information:

Series Number:

Agency:
Division:
Subdivision:

Series Title, Inclusive Dates, and General Materials Designator:
for open-ended series list the earliest date
the general materials designator usually is written as:
machine-readable data files

Summary of Contents:

Geographic Coverage:
include any consistenly available geographic subdivisions

Unit of Analysis:

Sort Sequence:

Technical Description:
File Structure:
Number of Logical Records:
for open-ended series, list the number of logical records in each data file on the list of holdings)
Logical Record Length:

Finding Aids:
include a citation to the user's guide and any other finding aids in the custody of the archives or original custodian

Related Records:

Restrictions on Use:
include the source or authority, termination dats, and any special access provisions.

Suggested Citation:
Agency, Division, Subdivision, "Series Title," Date,
G.M.D. , State Historical Society of Wisconsin, Archives Division.

Processed by name , year
Accession Number:
RDA Number:

6.6 Sample Abstract

ABSTRACT

SERIES NUMBER: 1559

AGENCY: Department of Revenue
DIVISION: Division of State and Local Finance
SUBDIVISION: Bureau of Property Tax

SERIES TITLE: SALES ANALYSIS SYSTEM MASTER FILE machine-readable data file , 1975- .

SUMMARY OF CONTENTS: Numeric data files containing data on approximately 100,000 parcels of real property sold each year in Wisconsin. Each parcel is identified by administrative area, county, and municipality, sales number, and parcel number. Data on each parcel includes property class, number of units, intended use, sales date, sales price, assessed value of land and improvements, the ratio of assessed value to sales price, and a few other descriptive items. The data are used to calculate the ratio of assessed values to market prices in different areas of Wisconsin.

GEOGRAPHIC COVERAGE: Wisconsin, and thereunder by administrative area, county, and municipality.

UNIT OF ANALYSIS: Parcel.

SORT SEQUENCE: Numeric by administrative area, and thereunder by county, municipal code number, and sales date.

TECHNICAL DESCRIPTION:

FILE STRUCTURE: Rectangular

FILE SIZE: See: "List of Holdings" (p. 3)

FINDING AIDS: "User's Guide for the SALES ANALYSIS SYSTEM MASTER FILE machine-readable data file , 1975- ." This descriptive documentation is available from the Archives Division, State Historical Society of Wisconsin.

RELATED RECORDS: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, FIELDED SALES ANALYSIS SYSTEM MASTER FILE, 1975- machine-readable data files . Archives Division, State Historical Society of Wisconsin.

RESTRICTIONS ON USE: Access to this file is restricted by s. 77.23, Wisconsin Statutes. Requests for access should be directed to the Director of the Bureau of Property Tax.

SUGGESTED CITATION: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, "Sales Analysis System Master File" machine-readable data file , 1975- . Archives Division, State Historical Society of Wisconsin, Series 1559.

Processed by K. Unertl and M. Hedstrom, 1981.
Acc. No. 1981/156.
RDA No. 193/80(1).

6.7 Archivist's Processing Notes:

The archivist's processing notes are used to inform the researcher of any changes made to the data as it was processed and to indicate any technical and interpretive problems with the data or the documentation. Processing notes should include information about any conversions or reformatting of the data such as changes to the character code, unpacking packed decimal fields, converting data from systems files to flat files, blank filling variable length records, etc. Processing notes should also mention any known errors in coding or keying the data, mssing data, inconsistencies between the data and documentation, undefined characters, and other technical problems.

6.8 Source Documents:

Include a copy of the source document(s).

6.9 Record Layout:

The record layout must include the following information for each field (variable) in the file.:

a) Variable name
b) Width of the field
c) Location of the field
d) Character type numeric, alphanumeric, packed decimal, etc. .

If all variables are the same type, this can be noted on the record layout.

The record layout must be legible. If diagrams provided by the agency are illegible or incorrect, the record layout should be typed in a columnar format.

6.10 Codebooks:

The user's guide must include a list of all codes used to represent data in each file. If the use of codes is limited to a few variables or a few values for each variable, codes may be listed in the record layout. Extensive coding requires a separate codebook.

6.11 Dumps:

Include a dump of at least the first 10 and last 10 logical records in each file included in the series. If the series contains confidential information, dumps should be edited to delete fields with confidential information or access to the dumps should be withheld until researchers have secured permission to access the file from the original custodian.

6.12 Organization, Reproduction, and Filing of User's Guides:

There should be two copies of each user s guide: one filed in the reading room with state records' inventories and one files with state record inventories in the processing area. The user's guide should be filed by the series number of the data file.

In some cases, there will be a considerable volume of documentation which contributes to interpretation of the contents of data files, but is not included in the user's guide. Examples of such types of documentation include administrative records of research projects, original source documents, preliminary and final analyses and reports, and records describing the file or database development such as sampling procedures, development of data dictionary definitions, error rates, data collection, etc. Generally, such records should be processed as separate series. The abstract in the user's guide should list such series in the related records note.

In the case of confidential records, portions of the documentation usually included in the user's guide may also carry restrictions. Dumps of data in the file must be restricted. (See: Section 6.11).

7.0 Storage and Maintenance:

Master copies of data sets are stored in the ADP tape library. Back-up copies are stored in the SHSW vault.

7.1 Storage Conditions:

The following list contains optimal storage conditions for magnetic tape. Tapes stored under these conditions can be expected to last from 12 to 20 years. Whenever possible, these conditions should be used as guidelines and storage areas with frequent or extreme fluctuations in temperature or humidity should be avoided.

Temperature: 65 degrees F (+ or - 3 degrees)
Humidity: 40 % RH (+ or - 5%)
Free from Dust, Smoke, and Strong Magnetic Fields
Store Tapes Upright on a Grounded Metal Rack
Store Tapes in Plastic Canisters which Support the Reel at the Hub
Place External Labels on all Tape Reels

7.2 Storage of Back-up Copies in the SHSW Vault

Back-up copies should have two external labels. One label contains the reel number. External reel numbers are sequential numbers which begin with the prefix SH and are followed by 4 digits. To determine the next reel number for an unnumbered SHSW tape (See: Section 7.4).

The second external label should contain the following information in the following format:

Series Number — Series Title
LRECL= NLREC= BF= BS=
Label DEN Track

Dup/Master Restrictions

Reel i.d. Reel Sequence

7.3 Tape Maintenance

The archives is responsible for maintenance of data sets stored in the SHSW vault and for monitoring maintenance of SHSW data files stored at ADP. The following maintenance schedule should be followed.

Once per six months:
Turn the tape reel one-quarter turn on the storage rack to prevent sagging.

Once per year:

Test read a sample of tapes in storage.

If the tape contains permanent read errors, the data should be transferred to a new tape.

Examine the tape reel visually for cinching; protruding layers of tape; broken reel, hub, or canister; surface contamination by dirt; creases, scratches, and other signs of physical deterioration.

Most of the problems listed above can be remedied by a cleaning and precision rewinding of the tape. After maintenance procedures are performed the tape should be read again to check for permanent read errors.

Every 1-2 Years:

Tapes should be cleaned and precisions rewound regardless of physical appearance or evidence of read errors.

Every 12-20 Years (or more frequently if evidence of deterioration appears):

Transfer the data file to new magnetic tape.

Tapes may be expected to last 12 to 20 years under optimum storage and maintenance conditions. However, it may be necessary to transfer data to new tape more frequently if any of the indications of physical deterioration listed above appear and cannot be remedied by cleaning and rewinding the tape. Less than optimal storage conditions, especially frequent or extreme fluctuations in temperature and humidity, accelerate tape deterioration.

7.4 Tape Maintenance Log:

The tape maintenance log is stored in Wang Document #1280H.

Purpose: The purpose of the tape management log is:

1) to maintain a record of the status, location, and physical characteristics of each tape in the archives and of any tapes stored elsewhere which contain public records in the custody of the archives;

2) to keep a record of the physical condition and maintenance performed on tapes in the archives' custody;

3) to record the series number, accession number, file name, data set name (if required for access), creation date, and restrictions on access for each file stored on each tape; and

4) to maintain a record of the tape number(s) which indicate the physical location of each series in machine-readable form.

Design: The log has one logical record per reel of tape. This record contains tape specific information which describes the physical characteristics of the tape. Each tape record is followed by one record of file information for each file on the tape. The file information consists of the sequence of the file on the tape, the series and/or accession number, a truncated version of the file name, the data set name (for internally labelled tapes), the creation date, and any restrictions on access. All other descriptive information pertaining to machine-readable data files is located in the finding aids. There is one word processing document page per reel of tape.

Updating: The log should be updated whenever the contents, physical characteristics, or location of a tape changes. The first data element in each record contains the date that the log was updated. Page W of Wang Document 1280H contains a blank form for use when information about new tapes or new data files are added to the log. This page also contains the codes used to record information in the log.

Use: The tape maintenance log is used to record information about each tape and each file in the archives custody. It can be used to retrieve information about a specific record series or reel of tape by using the search function to locate all pertenant information in the log. The log should also be used in conjunction with tape maintenance procedures to locate all tapes in need of maintenance.

7.5 Sample Record for Each Reel of Tape

Today's Date:	.....
Tape Number:	.....
Status:	.
Physical Location:	.....
Other Number	.....
Number of Tracks:	.
Density:	....
Parity:	.
Label:	..
Computer Generated On:	....
Tape Length:	....
Certified Density:	....
Manufacturer:	.
Purchase Date:	....
Date Physical Status Changed:	....
Type of Change:	.
Date of Precision Rewind:	....
Reel Sequence:	.....
Number of Files:	...

7.6 Sample Record for Each Data File

File Sequence:	.....
Series Number:	.....
Accession Number:	.....
File Name:	.....
Data Set Name:	.....
Date Generated:	....
Access:	.

Data file records are repeated for each file on a reel of tape

7.7 Tape Maintenance Log Codes:

Today's Date:	YYMMDD Enter date that log is updated or new data is entered.
Tape Number:	External Label (SHxxxx or ADP Vol.Ser. #)
Status:	Status of Tape: M Master D Duplicate S Scratch Tape W Work Tape
Physical Location:	VAULT (=SHSW Vault) DPLS MACC ADP STAFF (=Processing Staff)
Other Number:	Additional External Label (If tape is stored at a computer center, enter the i.d. needed to access the tape.)
Number of Tracks:	7 or 9
Density:	(In bpi.): 0556 0800 1600 6250
Parity:	O Odd E Even U Unknown
Label:	UL Unlabeled AL ANSI Standard Label IL IBM Label OL Other Label
Computer Genereated On:	MACC (=UNIVAC 1100) ADP (=IBM 370/168)
Tape Length:	(In feet.): 0600 1200 2400 3200
Certified Density:	Manufacturer's certified maximum density: (In bpi.): 0556 0800 1600 6250

Tape Manufacturer:	1 Wabash 2 Memorex 3 Burroughs 4 IBM 5 Scotch (3M) 6 Tri 7 Graham Magnetics 8 ... 9 Other
Purchase Date:	YYMM
Date Physical Status Changed:	YYMM
Type of Change:	0 New Tape. 1 Written On. 2 Cleaned (Cleans dirt from tape -- does not destroy information recorded on the tape). 3 Cleaned and Tested (Cleans any dirt from tape -- testing or recertification destroys information on the tape) 4 Degaussed (Demagnetizes the tape. Once date has been written onto a tape, that tape should be degaussed before using for archival storage).
Date of Precision Rewind:	YYMM Leave blank if new tape. Typically will be the date the tape was last mounted and rewound on the tape drive. May be the date created, cleaned, tested, degaussed, or used. .
Reel Sequence:	For multi-reel files. Indicates how many sequentially associated reels comprise a data file. A single reel file should be indicated by 01/01 (first of one), and multi-reel files by entries such as: 01/05, 01/08, 02/08, etc.
Number of Files:	For multi-file reels. Indicate the number of files on this reel of tape. (Use left leading zeroes; i.e. 001, 002, 010, etc.).
File Sequence:	Indicate the sequence of this file on the tape (01/03, 02/03, 03/03, etc.) and describe below.
Series Number:	Indicate SHSW series number, if assigned. If the series includes more than one machine-readable data file, indicate the file sequence in the series number as follows: (series #.001, series #.005, etc.).

Accession Number:	Indicate SHSW accession number for unprocessed files.
File Name:	Give brief series title to identify contents of file.
Date Set Name:	Indicate the Data Set Name (DSN) typically found on the Header Label (internal label) and required to access the file. (For tapes stored at ADP, typically U.ARC.xxxxxxxxxxxxxxxx.)
Date Generated:	YYMM
Access:	Indicate Restrictions on Access to the File: R Restricted P Public Use

Document Id: 1280H
Document Name: Tape Management Log

APPENDIX D

Sample User's Guide for a Machine-Readable Record Series

Note: This appendix is included as an example. Portions of the codebook and the appendices to the user's guide were not reproduced because they are self-explanatory. The dump of the first 10 records which appears at the end of this user's guide is hypothetical data. An actual dump is not not included in this appendix because the series is restricted.

Archives Division

STATE HISTORICAL SOCIETY OF WISCONSIN

Department of Revenue
Division of State and Local Finance
Bureau of Property Tax

User's Guide for the

SALES ANALYSIS SYSTEM MASTER

FILE, 1975 - [machine-readable

data files]. Restricted.

Series
Number
1559

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RESTRICTION:

The State Historical Society of Wisconsin shall, according to ss. 16.61(13)(b), Wisconsin Statutes, observe the privileged information requirement of s. 77.23, Wisconsin Statutes.

Requests for access to this file should be directed to the original custodian, the Director of the Bureau of Property Tax.

Researchers must obtain formal approval from the original custodian before the State Historical Society will allow access to this file.

ABSTRACT

SERIES NUMBER: 1559

AGENCY: Department of Revenue
DIVISION: Division of State and Local Finance
SUBDIVISION: Bureau of Property Tax

SERIES TITLE: SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files].

SUMMARY OF CONTENTS: Numeric data files containing data on approximately 100,000 parcels of real property sold each year in Wisconsin. Each parcel is identified by administrative area, county, and municipality, sales number, and parcel number. Data on each parcel includes property class, number of units, intended use, sales date, sales price, assessed value of land and improvements, the ratio of assessed value to sales price, and a few other descriptive items. The data are used to calculate the ratio of assessed values to market prices in different areas of Wisconsin.

GEOGRAPHIC COVERAGE: Wisconsin, and thereunder by administrative area, county, and municipality.

UNIT OF ANALYSIS: Parcel.

SORT SEQUENCE: Numeric by administrative area, and thereunder by county, municipal code number, and sales date.

TECHNICAL DESCRIPTION:
FILE STRUCTURE: Rectangular
FILE SIZE: See: "List of Holdings, p. 3"

FINDING AIDS: "User's Guide for the SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files." This descriptive documentation is available from the Archives Division, State Historical Society of Wisconsin.

RELATED RECORDS: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, FIELDED SALES ANALYSIS SYSTEM MASTER FILE, 1975- [machine-readable data files]. Archives Division, State Historical Society of Wisconsin.

RESTRICTIONS ON USE: Access to this file is restricted by s. 77.23, Wisconsin Statutes. Requests for access should be directed to the Director of the Bureau of Property Tax.

SUGGESTED CITATION: Department of Revenue, Division of State and Local Finance, Bureau of Property Tax, "Sales Analysis System Master File, 1975-" [machine-readable data files]. Archives Division, State Historical Society of Wisconsin, Series 1559.

Processed by K. Unertl and M. Hedstrom, 1981.
Acc. No. 1981/156.
RDA No. 193/80(1).

Series 1559
SALES ANALYSIS SYSTEM (SAS) MASTER FILE, 1975 - [machine readable data files]. Restricted.

DEPARTMENT OF REVENUE
Division of State and Local Finance
Bureau of Property Tax

History: Beginning on October 1, 1969, Chapter 77, Subsection II of the Wisconsin Statutes imposes a transfer fee on the grantor of every real estate conveyance not exempted by ss. 77.25 or 77.26. The Bureau of Property Tax collects and compiles data from the Real Estate Transfer Fee Return (Form PE-500) for selected conveyances to generate the Sales Analysis System (SAS) Master File annually. The Bureau uses the data to establish the ratio of assessed to market value of real estate in various geographic areas throughout Wisconsin. The data are also used for analyses of trends of real estate prices.

Scope and Content: The file contains only recorded transactions considered to be of ordinary market value and not exempted by ss. 77.25, Wisconsin Statutes. Transfers involving any element of compulsion are excluded from the SAS master file, such as those involving duress, between related parties, to non-profit institutions, of convenience, and of doubtful titles. Transfers of real estate with split property classifications are also excluded. (For details on the selection criteria, see pages 16-20 of this user's guide.)

The file contains data on approximately 100,000 real estate transactions per year. Each parcel is identified by the administrative area, county, and assessment district (if applicable) where it is located, the type of tax district, sales number, and local parcel or tax key number. Data on each parcel includes the property classification, number of units, intended use, sales date, sales price, assessed value of the land, improvements, and total, and the ratio of the assessed value to the sales price. The file also identifies parcels with water frontage and parcels of land without improvements. Some administrative data such as the entry date and office reject code are also included.

Additional Documentation: For additional information on the definitions, coverage, and administrative procedures associated with assessment of real property and the real estate transfer fee see Chapter 77, Subsection II, Wisconsin Statutes and Wisconsin Department of Revenue, State-Local Finance Division, Bureau of Property Tax. Property Assessment Manual for Wisconsin Assessors, Vol. I, 1970-1977.

LIST OF HOLDINGS

1969

1970

1971

1972

1973

1974

1975 1 data file (76,180 logical records)

1976 1 data file (105,208 logical records)

Archivist's Processing Notes

Re: SAS Master File, 1975, 1976.

These data were converted from IBM packed decimal to EBCDIC by the archives staff. Several logical records were compared to the record layout and coding scheme. The information in the file seemed to be consistent with the documentation.

There are two meaningless characters at the end of each block.

RECORD LAYOUT

Columns	Width	Variable Name and Description
1-2	2	Administrative Area Code (See Codebook)
3-4	2	County Code (See Codebook)
5-7	3	Tax District Code This variable identifies the municipality in which each parcel is located: (See Codebook)
8-9	2	Assessment District (See Appendix A)
10-14	5	Sales Number Assigned sequentially by each Department of Revenue district office.
15-27	13	Parcel Number First 13 "valid" characters of the local parcel number or tax key number. Dashes, dots, etc. should not appear. This item can be blank.
28-30	3	Quarter Section This item is always coded 000.
31-32	2	Property Class This entry must contain the appropriate property class, coded as follows: 01 -- Residential 02 -- Mercantile 03 -- Manufacturing 04 -- Agricultural 05 -- Swamp and Waste 06 -- Forest (See pp. 14-15 of this User's Guide for definitions)
33	1	Water Frontage (WF) 1 -- Has Water Frontage 2 -- Does not have Water Frontage
34	1	Kind of Property (VAC/IMP) 1 -- Land Only 2 -- Land and Improvements

Record Layout (continued)

Columns	Width	Variable Name and Description
35	1	Number of Units 0 -- Blank 1 -- 1 Household 2 -- 2 - 7 Units 3 -- 8 or More Units
36	1	Intended Use 1 -- Residential 2 -- Commercial 3 -- Industrial 4 -- Agricultural 5 -- Recreational 6 -- Other
37-40	4	Sales Date MMYY
41-49	9	Sales Price In dollars (no cents)
50-58	9	Assessed Value of Land In dollars (no cents)
59-67	9	Assessed Value of Improvements In dollars (no cents)
68-76	9	Total Assessed Value Assessed value of land and improvements. In dollars (no cents)
77-83	7	Ratio of Assessed to Sales Value Ratio of the total assessed value to the sales price. (Rounded to five decimal digits)
84-89	6	Entry Date Date the record was entered into the SAS system. MMDDYY
90	1	Office Code
91-100	10	Blank

Note: All variables are numeric data except the Parcel Number (Columns 15-27) which can contain alphanumeric characters.

WISCONSIN REAL ESTATE TRANSFER RETURN

Wisconsin Department of Revenue

Name, Address and Social Security Number of Grantor	Name, Full Address and Social Security Number of Grantee
Is grantor related to grantee? (Blood or Marriage) ☐ Yes ☐ No	
Name and Address to which tax bills should be sent	

PART I - PROPERTY TRANSFERRED

County of:	Check proper box and enter name of municipality ☐ City ☐ Village OF:_____ ☐ Town	Street address of property transferred

Legal Description (Fill in legal description in space below or attach 2 copies of full legal description from instrument of conveyance)

Lot No._____ Block No._____ Plat Name_____

Town_____ Range_____ Section_____ Property Parcel Number_____

or metes and bounds description:

BEST COPY AVAILABLE

PART II - PHYSICAL DESCRIPTION AND INTENDED USE

1. Kind of Property
   - a. ☐ Land Only
   - ☐ New Construction
   - ☐ Building Previously Used
   - b. ☐ Residential Units, if any
   - ☐ One Family
   - ☐ 2 thru 7 Units
   - ☐ 8 or more Units

2. Principal Intended Use
   - a. ☐ Residential
   - b. ☐ Commercial
   - c. ☐ Industrial
   - d. ☐ Agricultural
   - e. ☐ Recreational
   - f. ☐ Other (Explain) _____

3. Land Area and Type
   - a. Lot Size - Estimated ☐
   - _____ X _____
   - b. _____ Total Acres - Estimated
   - 1. _____ Tillable Acres
   - 2. _____ W.T.L. Acres
   - 3. _____ F.C. Acres
   - c. _____ Feet of Water Frontage
   - Estimated ☐

PART III - TRANSFER

1. ☐ Sale 2. ☐ Gift 3. ☐ Exchange 4. ☐ Deed in satisfaction of L.C. dated _____ 5. Other *Explain Here*

PART IV - COMPUTATION OF FEE

1. Total value of REAL ESTATE transferred (purchase price, etc.) ..... $ _____
2. Ownership interest transferred ☐ Full ☐ Other (Explain) _____
3. Fee ..... $ _____
4. In your opinion, was this sale or transfer made at fair market value? ☐ Yes ☐ No ☐ No opinion (If no or no opinion, Explain Here)

I (We) declare under penalty of law, that this return (including any accompanying schedule) has been examined by me (us) and to the best of my (our) knowledge and belief it is true, correct and complete.

Sign Here →	Signature of Grantee or Agent	Date

LEAVE THIS AREA BLANK

Document No.	Vol. (Reel)	Page (Image)	Date Recorded	Date and Kind of Conveyance

Parcel Number						19__ L I T	19__ L I T	County Code		District Code	
A	B	C	D	E	F			1 Office	2 Field	3 Use	4 Reject
								Ratio		Consideration	

PE-500 (6-78)

School District# _____

INSTRUCTIONS

Upon completion, submit all parts of this form intact to the Register of Deeds with the instrument of conveyance and the fee payable, if any.

GRANTOR: Usually the former owner of the property. (Seller if property transferred by sale.)

GRANTEE: The new owner of the property (the purchaser when property transferred by sale).

Indicate whether or not grantor and grantee are related by blood or marriage.

Enter the name and address to which tax bills are to be sent.

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PART I - PROPERTY TRANSFERRED Enter the name of the county and the municipality in which the transferred property is located and check whether it is a city, village, or town. Enter the street address of the property transferred. If rural property, give the fire number if known.

The legal description is the legally accepted statement which identifies the location and boundaries of this property and can be found on the instrument of conveyance (deed, etc.) Enter the full legal description or attach two copies of the legal description as it appears on the instrument of conveyance to the front of this form. Also enter the town, range and section in which property is located. Enter the property parcel number opposite the space provided. The number can most readily be obtained from the property tax bill at the time taxes are ascertained for proration purposes.

PART II - PHYSICAL DESCRIPTION AND INTENDED USE OF PROPERTY

Item 1a: Check only one box.
Item 1b: Check only one box. (If "Land Only" is checked in 1.a. omit this item.)
Item 2: Check only one box which best describes intended use.
Item 3a: Enter lot size. If unknown, enter estimated size and check box.
Item 3b: Enter total acres. If unknown, enter estimated total acreage and check box.
Item 3b1: Enter number of tillable acres, if any.
Item 3b2: Enter number of acres under woodland tax contract, if none, enter "none."
Item 3b3: Enter number of acres under forest crop contract, if none, enter "none."
Item 3c: Enter number of feet of water frontage. If unknown, enter estimated footage and check box. If none, enter "none".

Note: Owners of forest crop land are required by law to notify the Department of Natural Resources of transfer of ownership.

PART III - TRANSFER Check the appropriate box to show how the property was acquired, i.e., by Sale, Gift, or Exchange. If Other is checked, please explain in space provided.

PART IV - COMPUTATION OF FEE On Line 1 enter the full actual consideration paid or to be paid for Real Estate including the amount of any lien or liens thereon. DO NOT include consideration for personal property such as household furniture, farm machinery, boats, etc. In case of a Gift, nominal consideration or Exchange of property, enter the estimated current fair market value (the price which could ordinarily be obtained for the property at a sale in an open market between a willing buyer and willing seller).

On Line 2 show the extent of the ownership interest acquired by this transfer. If Full, check box; if other than Full, check box for Other and identify fractional interest.

On Line 3 enter the amount of the fee which is based upon a rate of 10¢ per $100 on Line 1 or fraction thereof.

If Line 1 does not end in even hundreds (i.e. $11,520), round to next even hundred (i.e., $11,600) and move the decimal three places to the left (i.e., correct fee in example is $11.600).

Note: If this is an original land contract, no fee is imposed; therefore, on Line 3 enter the words "Original L.C."

Line 4 is self explanatory.

SECTION 77.25 - EXEMPTIONS FROM FEE The fees imposed by this subchapter do not apply to a conveyance:

(1) Prior to the effective date of this subchapter (October 1, 1969).
(2) To the United States or to this state or to any instrumentality, agency or, subdivision of either.
(3) Which, executed for nominal, inadequate, or no consideration, confirms, corrects or reforms a conveyance previously recorded.
(4) On sale for delinquent taxes or assessments.
(5) On partition.
(6) Pursuant to mergers of corporations.
(7) By a subsidiary corporation to its parent for no consideration, nominal consideration or in sole consideration of cancellation, surrender or transfer of capital stock between parent and subsidiary corporation.
(8) Between husband and wife or parent and child for nominal or no consideration.
(9) Between agent and principal or trustee and beneficiary without actual consideration.
(10) Solely in order to provide or release security for a debt or obligation except as required by S.77.22 (2) (b).
(11) By will, descent or survivorship.
(12) Pursuant to or in lieu of condemnation.
(13) Of real estate having a value of $100 or less.

ADMINISTRATIVE AREAS, 1975, 1976 (Columns 1-2)

Wisconsin counties were divided into five administrative areas by the Department of Revenue, as follows:*

Administrative Area 75

Brown
Calumet
Door
Fond du Lac
Green Lake
Kewaunee
Manitowoc
Marathon
Marquette
Menominee
Oconto
Outagamie
Shawano
Sheboygan
Waupaca
Waushara
Winnebago

Administrative Area 76

Columbia
Dane
Dodge
Grant
Green
Iowa
Jefferson
Lafayette
Richland
Rock
Sauk

Administrative Area 77

Kenosha
Milwaukee
Ozaukee
Racine
Walworth
Washington
Waukesha

Administrative Area 79

Ashland
Barron
Bayfield
Buffalo
Burnett
Chippewa
Clark
Crawford
Douglas
Dunn
Eau Claire
Iron
Jackson
La Crosse
Monroe
Pepin
Pierce
Polk
Price
Rusk
St. Croix

Administrative Area 79 (cont.)

Sawyer
Taylor
Trempealeau
Vernon
Washburn

Administrative Area 80

Adams
Florence
Forest
Juneau
Langlade
Lincoln
Marathon
Oneida
Portage
Vilas
Wood

*Administrative Area 78 did not exist until 1978.

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COUNTY CODE (Columns 3-4)

01	Adams	37	Marathon
02	Ashland	38	Marinette
03	Barron	39	Marquette
04	Bayfield	40	Milwaukee
05	Brown	41	Monroe
06	Buffalo	42	Oconto
07	Burnette	43	Oneida
08	Calumet	44	Outagamie
09	Chippewa	45	Ozaukee
10	Clark	46	Pepin
11	Columbia	47	Pierce
12	Crawford	48	Polk
13	Dane	49	Portage
14	Dodge	50	Price
15	Door	51	Racine
16	Douglas	52	Richland
17	Dunn	53	Rock
18	Eau Claire	54	Rusk
19	Florence	55	Saint Croix
20	Fond du Lac	56	Sauk
21	Forest	57	Sawyer
22	Grant	58	Shawano
23	Green	59	Sheboygan
24	Green Lake	60	Taylor
25	Iowa	61	Trempealeau
26	Iron	62	Vernon
27	Jackson	63	Vilas
28	Jefferson	64	Walworth
29	Juneau	65	Washburn
30	Kenosha	66	Washington
31	Kewaunee	67	Waukesha
32	La Crosse	68	Waupaca
33	Lafayette	69	Waushara
34	Langlade	70	Winnebago
35	Lincoln	71	Wood
36	Manitowoc	72	Menominee

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Sales Analysis System (SAS) Master File, 1975 (First 10 Logical Records):

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76250020000947BL13842      0000122110175000060000000046000000346000000392000065333121075O
76250020000950BL660AL661   0000122110175000060000000046000000346000000392000065333121075O
76250020000951BL1963       0000122110175000060000000046000000346000000392000065333121075O
76250020000952BL173        0000122110175000060000000046000000346000000392000065333121075O
76250020000953BL1943J38    0000122110175000060000000046000000346000000392000065333121075O
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76250020000956BL361Y18     0000122110175000060000000046000000346000000392000065333121075O
76250020000958BL11111      0000122110175000060000000046000000346000000392000065333121075O
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76250020000963BL1173       0000122110175000060000000046000000346000000392000065333121075O
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